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ABSTRACT

This report outlines the Metropolitan Washington Library Council's 14-month program to develop and evaluate a continuing education curriculum designed to improve the managerial effectiveness of special librarians. Objectives included determining the management training needs of Washington area special librarians, developing a series of four courses to meet these needs, preparing a descriptive report, and exploring the feasibility of adapting course content to other types of libraries. In all, 89 librarians participated in courses which were developed by instructors, project staff, and an advisory committee made up of special librarians. Findings and recommendations include the following: (1) emphasis in the courses should be on the development of practical skills, (2) effective orientation of instructors is the most important step in developing this kind of project, (3) site visits were integral to instructor preparation, (4) meeting with members of the special library community was also important to instructor preparation, and (5) orienting instructors should take precedence over the development of instructional materials tailored to the library environment. (Author/FM)

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model management curriculum for special librarians

by
Mary Sage

A program conducted by the Metropolitan Washington Library Council of the Metropolitan Washington Council of Governments through grants from the United States Office of Education, Title IIB Higher Education Act of 1965 and the D.C. Chapter of the Special Libraries Association.

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The following text outlines the Metropolitan Washington Library Council's 14 month project to develop a model management curriculum for special librarians. The goal of the program was to develop and evaluate a continuing education curriculum for special librarians designed to improve their managerial effectiveness. Objectives included determining training needs, developing four courses, preparing and disseminating a descriptive report, and exploring the feasibility of adapting course content to other types of libraries.

The program began in July of 1978 and ended in September of 1979. Four three day courses were held in the spring of 1979. The topics covered were Human Resources Management, Financial Management, Planning for Special Library Management and Management Communications. The workshops were offered free to Washington area special librarians. In all, 89 librarians participated in the courses.

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FORWARD

This report documents the Metropolitan Washington Library Council's 14 month project to develop a model management curriculum for special librarians in the Washington D.C. area. The purpose of the report is twofold: 1) the administrative guidelines in Part I are designed to provide training administrators in other areas with a blueprint for developing similar projects; 2) Part II contains specific information on the courses themselves. Each course is described in detail and most of the instructional materials are reprinted. This section is for management trainers with expertise and experience in the course topics who are developing courses for special librarians to see what was effective. The copyrighted materials for the Management Communications workshop may be reproduced for classroom use only, not for other commercial purposes. The copyrighted materials for the Human Resources Management course may not be reproduced without the written consent of Tikoian Associates Inc.

The project decribed in this report was made possible through a grant from the Library Education and Post Secondary Resources Branch of the U.S. Office of Education's Office of Library and Learning Resources and through a matching grant from the D.C. Chapter of the Special Libraries Association. In the development of the project we received valuable assistance and advice from a wide variety of people.

Frank Stevens, Chief, of OE's Library Education and Post Secondary Resources Branch, monitored the project and was readily available to provide guidance and support.

The project advisory committee assisted in the needs assessment, the development of the courses and the final evaluation. The members of the advisory committee were: Ellen Berman, TRW Systems; Yvonne Hill, U.S. Department of Transportation; Nancy McManus, Social Science Research Council; Madeleine Mullin, State Services Organization; Carol Pyke, Urban Institute; Ruth Smith, Institute for Defense Analyses; Frances Swim, National Oceanic and Atmospheric Administration. Their help was critical to the success of this program.

Thanks are also extended to members of the Special Libraries Association, especially Pat Berger and Jim Olsen of the D.C. Chapter who supported the project from its inception and Mary Frances Hoban, Muriel Regan and Judith Field who monitored interim reports and followed the development of the program. Larry Himelfarb and Susan Seide acted as volunteer recorders for the courses, and their notes were used extensively in preparing the final report.

Finally thanks go to Barbara Robinson, Director of the Library Council, who provided guidance and moral support in the development of the project and to Jo Ann Henderson and Annabelle Watkins who prepared the manuscript for this report.

MODEL MANAGEMENT CURRICULUM FOR SPECIAL LIBRARIANS

EXECUTIVE SUMMARY

The following text outlines the Metropolitan Washington Library Council's 14 month project to develop a model management curriculum for special librarians. The project was funded in FY 1979 by the Office of Libraries and Learning Resources of the U.S. Office of Education, and the D.C. Chapter of the Special Libraries Association.

The goal of the program was to develop and evaluate a continuing education curriculum for special librarians designed to improve their managerial effectiveness. Objectives included determining the management training needs of Washington area special librarians, developing a series of four courses to meet these needs, preparing a descriptive report, and exploring the feasibility of adapting course content to other types of libraries.

The program began in July of 1978 and ended in September of 1979. Four three day courses were held in the spring of 1979. The topics covered were Human Resources Management, Financial Management, Planning for Special Library Management and Management Communications. The workshops were offered free to Washington area special librarians. In all, 89 librarians participated in the courses, 130 applied. Development of the program took 50% of the training director's time and 20% of a secretary's time.

Assistance in project development was provided by the project advisory committee. The advisory committee was made up of special librarians with a broad range of professional expertise, representing a cross-section of special library types. The responsibility of the advisory committee was to serve as a resource group for the instructors and the project staff.

Course development was closely tied to the training of instructors. Instructors worked closely with the project coordinator and the advisory committee to become familiar with the special library environment and develop the courses to meet the specific needs of that environment. Precourse training of the instructors included meeting with the special librarians, making site visits, reading materials on special library management, and surveying the needs of the participants.

Findings and recommendations include:

- The emphasis in the courses should be on the development of practical skills.
- Effective orientation of the instructors is the most important step in developing this type of project.
- The most important element of instructor preparation was the site visits.
- The second most important aspect of the preparation of instructors was meeting with members of the special library community.
- Orienting instructors should take precedence over the development of instructional materials, tailored to the library environment.

The response of the Washington special library community and the project participants to this series attests to the need for management training and the value of adapting that training to the needs of special librarians.

MODEL MANAGEMENT CURRICULUM FOR SPECIAL LIBRARIANS

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MODEL MANAGEMENT CURRICULUM FOR SPECIAL LIBRARIANS

PART I - ADMINISTRATIVE GUIDELINES

Background and Rationale for the Project

For some time forward thinking librarians and information specialists have felt that the teaching of librarianship should not be limited to library-related issues. In recognition of this need, the Metropolitan Washington Library Council of the Metropolitan Washington Council of Governments applied for and received a grant in 1975 from the Office of Education (Research and Demonstration Branch, Office of Libraries and Learning Resources) to develop a model interdisciplinary continuing education curriculum for all types of librarians.

Six training modules were developed on such topics as Consumer Protection Information, Public Relations, Supervision and Personnel Administration. Instructors were non-librarians drawn from a variety of settings: private consulting firms, universities, businesses, all levels of government and public interest groups. The dissemination report from that project, Continuing Library Education: An Interdisciplinary Approach was published in 1976 and is available in microfiche from the Information Center, Metropolitan Washington Council of Governments.

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The program itself proved highly successful. It has continued on a self-supporting basis specializing in courses in management for librarians in all types of library settings. The courses are deliberately broad in their approach in order to draw a cross-section of attendees. With most groups and most topics this has been a strength of the program as it has encouraged communication across types of libraries. There are some instances where workshops need to be tailored to a particular audience.

Special librarians feel that there are unique problems in working within larger organizations which are not libraries and which may view the library or the information center 1) as a staff rather than a line function, 2) as an overhead rather than a direct charge operation, 3) as a passive rather than a dynamic unit in the organization. Special librarians, particularly those running one or two person libraries, do not have strength in numbers. They, as well as their colleagues in larger special libraries, must work directly with financial officers, computer programmers, systems analysts and manpower specialists to legitimize their role within the organization.

It is especially important to special librarians to be able to translate their programs and services into terms understandable and acceptable to their own management. These librarians must be able to use sophisticated management techniques to: 1) develop and direct their programs effectively; 2) establish their credibility as competent administrators with their own managers; 3) integrate information services into the management framework of their parent institutions; and 4) participate actively in the development of new management techniques and practices applicable to their work situation.

Participant evaluations from previous Library Council continuing education courses have also indicated that participant response is greatly improved when case studies, exercises, and problem solving discussions are couched in a library context. Instructors from other disciplines should become acquainted with the library environment before the courses so that they can respond specifically to questions and select appropriate subtopics and instructional tools. Unfortunately training instructors and developing appropriate course materials are complicated and time consuming tasks. If the cost of this process were incorporated into the budget of a normal training course it would so inflate the tuition that few librarians could afford to attend.

In response to the above concerns in December 1977, the Library Council submitted to the Library Education and Post Secondary Resources Branch of the U.S. Office of Education's Office of Library and Learning Resources a proposal to develop a model management curriculum for special librarians. The intent of the proposal was to develop a curriculum tailored specifically to the management training needs of special librarians. Topics were to be those identified by the librarians themselves. Instructors were to be drawn from the appropriate disciplines and given the time and guidance required to acquaint themselves with the special library environment and develop the courses and instructional tools accordingly.

To indicate support for the proposal, the D.C. Chapter of the Special Libraries Association contributed a small matching grant toward the development of the program. The Chapter felt that the courses outlined in the proposal would not only be useful to local members but would also be transferable to other SLA chapters across the country.

The program which resulted from the funding of this project began in July of 1978. Four three-day courses were held in the spring of 1979 on the topics of Human Resources Management, Financial Management, Planning for Special Library Management and Management Communications. The workshops were offered free to Washington area special librarians. In all, 89 special librarians participated in the courses. Special librarians were defined as professional librarians working in federal agencies, not-for-profit organizations, trade or professional associations, for-profit institutions, and city, county, and state agencies.

This program is designed to serve as a model for other library cooperatives, professional associations and educational organizations interested in conducting similar management courses for special librarians. This report documents the program and is intended to serve two functions. Part I includes administrative guidelines on the planning, implementation, and evaluation of the program and is intended for use by library training coordinators to develop similar programs. Part II, the curriculum guide, contains outlines and supporting materials for the courses themselves. This may be used by instructors to replicate the courses. Together parts I and II of this publication serve two purposes: 1) an action plan for administrators, and 2) an instructional package to be used by experts from other fields in tailoring programs to the needs of special librarians. It is likely that other instructors may have their own perspectives on the topics and how they should be presented. They can, however, use the curriculum guide to identify potential topics, approaches, and interest areas, and to see what was effective with this group and incorporate appropriate materials into their own workshop designs.

Program Goal and Objectives

The goal of the program was to develop and evaluate a continuing education curriculum for practicing special librarians designed to improve their managerial effectiveness. Specific objectives which supported the achievement of the goal were to:

- Determine the specific management training needs and practices of special librarians in the Washington area;

- Develop a series of continuing education courses designed to provide a management curriculum for special librarians in Washington which would be transferable to special librarians in other parts of the country;

- Prepare for publication a description of the program which would include administrative guidelines for coordinators of the training programs and a curriculum guide for subject experts;

- Disseminate this publication to other library agencies nationwide to use to implement similar workshops for special librarians; and

- Explore the feasibility of adapting appropriate course content and materials to other types of libraries, e.g., academic, public, and school libraries.

These objectives provided guidelines for the development and evaluation of the project. They were explained to the instructors and participants before each course to insure that all of the parties involved understood the nature of the program and its expected outcomes.

Resources and Facilities

The Metropolitan Washington Library Council offered an effective setting for the development of the program. The Library Council is the Washington area's library cooperative, located within the Metropolitan Washington Council of Governments. The Library Council develops and implements regional library programs and activities of the Library Council's 200 members of which over 50% are special and federal libraries. In addition, the Washington area itself contains over 1,000 library and reference facilities, the majority of which are special libraries, including public interest groups, not-for profit agencies, business and consulting firms, and government organizations.

The workshops were held at the Council of Governments' offices in midtown Washington to provide a central location convenient to participants and instructors from the various suburban jurisdictions as well as the central city. Support facilities included a conference room where the courses were held, audio-visual equipment, copying facilities and secretarial support for instructors. By conducting the workshops in-house the staff was able to perform administrative functions smoothly and instructors were able to make last minute modifications that required additional equipment or clerical assistance.

Staffing and Administration

The project was staffed primarily by the Library Council's training coordinator who was responsible for all aspects of the program including selecting and training instructors, developing publicity, budgeting funds, selecting participants, and developing evaluation procedures. These activities required approximately 50% of the training coordinator's time throughout the program year. It should be noted that the training coordinator had several years of experience in planning training programs. A person involved in this type of program for the first time would no doubt require more time to identify the many tasks involved and establish appropriate procedures. The Director of the Library Council worked closely with the training coordinator to supervise the administration of the program, provide coordination with the Council of Governments, and formulate strategies for achieving objectives.

Clerical support was provided by the Library Council's secretarial staff. This included typing and reproducing course materials, record keeping, handling logistical arrangements, and maintaining mailing lists. This activity required 20% of a secretary's time, but again many procedures had already been established and a first time effort would require greater time commitments.

Advisory Committee

Invaluable assistance in course and program development was provided by the project advisory committee. The committee was selected to reflect a broad range of professional expertise and a cross-section of special library types. The primary responsibility of advisory committee members was to serve as resource persons for the instructors and project staff in the development of the courses and the overall project.

The following special librarians served on the Advisory Committee:

Ellen Berman, TRW Systems

Yvonne Hill, U.S. Department of Transportation

Nancy McManus, Social Science Resources Council

Madeleine Mullin, State Services Organization

Carol Pyke, Urban Institute

Ruth Smith, Institute for Defense Analyses

Frances Swim, National Oceanic and Atmospheric Administration

The committee met at the beginning of the year to refine project objectives and suggest possible workshop topics. They also participated in the needs assessment meeting described below. Once the course topics had been determined each committee member selected two courses for which she would serve as a resource person. In this capacity committee members attended planning meetings with instructors, suggested or provided appropriate background readings for instructors, gave the instructors tours of their libraries, and when possible, attended the courses themselves. Each course had at least three advisory committee members as resource persons. The committee met again at the conclusion of the year to identify strengths and weaknesses of the project as a whole and the individual workshop components, critique the final report and discuss strategies for future Library Council continuing education efforts for special librarians.

The involvement of the advisory committee was crucial to the development of the program. Committee members were instrumental in providing instructors with the perspective of practicing special librarians and identifying the interests and concerns which the participants would bring to the workshops. The benefit of this perspective was particularly valuable because the training coordinator did not have special library experience herself.

Topic Selection

To determine the training needs and priorities of the special library community, a needs assessment was conducted in July 1978 which included over 100 special and federal libraries. The needs assessment had two parts: a formal meeting and a written survey. Over 70 special and federal librarians attended the half day meeting. After a general session in which the project staff explained the background and objectives of the program, participants broke into small groups, led by advisory committee members to generate lists of topics in which they felt management training was most needed. These lists were then merged into a master list and presented to the whole group which ranked the topics as A, B, or C priorities. Thirty more librarians who were unable to attend because of space limitations were subsequently surveyed with a written form, and their input was added to the data collected at the meeting. A copy of the needs assessment results is included in Appendix A.

The needs assessment process identified broad areas of interest to special librarians as well as subtopics with which the workshops might deal directly. It also generated interest within the local special library community.

The chart on pages 8-9 gives the course titles, instructors, dates and outlines. More detailed information about the courses is included in Part II of this report.

Selection of Instructors

Selection of instructors was based on a number of criteria: subject expertise, adult education experience, cost, and recommendations from other professionals. Three of the instructors were management consultants and one was a college professor. All had considerable experience with conducting training courses for adults. This experience was critical to the success of the program. While it is necessary for instructors to have subject expertise, it is equally important that they know how to develop and conduct adult training programs. In conducting our continuing education programs, we have found that instructors with this type of training and experience are more adaptable and responsive to the needs of participants and tend to receive higher evaluation scores than those who deliver presentations based solely on their professional experience.

COURSE OUTLINES

Course Title	Instructor	Date
Human Resources Management	John Tikoian	February 28 March 1,2 1979

Course Outline

- Human Resources Planning - 1) Planning as a management practice. 2) Determining manpower objectives. 3) Job analysis 4) Staff analysis. 5) Organizational analysis in planning.
- Staffing - 1) Understanding staffing as a system. 2) Developing usable job information. 3) Recruitment strategies and practices. 4) Selection interviewing methods and implementations. 5) Testing as a selection tool. 6) Performance appraisal methods and implementations. 7) The link between appraisal and motivation. 8) Making staffing decisions. 9) EEO policies and practices.
- Organizational Behavior - 1) Understanding organizational behavior 2) Identifying management patterns. 3) Identifying leadership patterns. 4) Performing organizational analysis. 5) Understanding the "host" environment.
- Training and Development - 1) Understanding training and education. 2) How to determine training needs. 3) Selecting training for employees. 4) The role of developmental counseling. 5) Evaluating training programs. 6) Personal and career development. 7) Making training decisions.
- Motivation and Commitment - 1) Understanding motivational approaches 2) Motivation as a system. 3) Attitudes and expectations 4) Productivity and incentives. 5) Quantitative and qualitative motivators.

Course Title	Instructor	Date
Financial Management	James Cleaveland	March 12, 15, 16, 1979

Course Outline

- Elements of Program and Financial Management - 1) Clear goals and objectives 2) Relevant activities to achieve those goals and objectives. 3) Budgets that relate dollars to planned services. 4) Follow-up (control) mechanisms to monitor achievement of plans.
- Setting Goals and Objectives and Strategic Planning - 1) What ought we to do? 2) Whom do/should we serve? 3) Marketing for libraries.
- Planning and Budgeting - 1) Historical development of budgeting. 2) Line item budgeting. 3) Program budgeting. 4) Zero-base budgeting. 5) Other budgeting techniques.
- Budgeting and Management Control - 1) How to get rid of routine paper work? 2) Delegation - the key. 3) Financial planning. 4) Financial tracking. 5) Program performance planning--the other part of the equation. 6) Program performance tracking. 7) Getting the most from program and financial planning and control.

COURSE OUTLINES

Course Title	Instructor	Date
Planning for Special Library Management	David Callahan	April 9, 10, 11, 1979

Course Outline

- Structure of Planning - 1) What happens if planning works? 2) Process of organizational planning. 3) Developing assumptions about future. 4) Setting objectives. 5) Developing organizational strategy. 6) Intermediate goals. 7) Feedback in planning. 8) Contingency planning.
- Task Design - 1) Examine challenge. 2) identify goals. 3) Specify objectives. 4) Select approach. 5) Determine tasks.
- Information Design - 1) Determine methods for developing information, 2) Specify data requirements and identify sources. 3) How to collect data. 4)Disposition of data.
- Implementation Design - 1) Secure support of participants 2) Obtain approvals and commitments 3) Assign responsibilities.

Course Title	Instructor	Date
Management Communications	James Owens	April 26, May 1, 3, 1979

Course Outline

- Organizational Communication - 1) The roles of line managers and staff managers. 2) Organization structures (line, line and staff, matrix) and how they work. 3) Key concepts of transactional analysis. 4) Knowing and handling the nine main barriers to effective communication. 5) Workshop: Applying concepts to on-the-job situations.
- Communication, Leadership and Motivation - 1) The major theories of leadership. 2) The major theories of motivation. 3) How these theories relate to communication on the job. 4) Communication within work groups and committees - a simulation demonstrating the above concepts. 5) Workshop: Applying concepts to on-the-job situations.
- Influence and Results Through Effective Communication - 1) Modern methods that get results: -O.D. (organizational development) - M.B.O. (management by objectives) - Force-field analysis. 2) Achieving goals and influence through effective communication. 3) How to introduce and implement change and innovations. 4) Workshop: Applying concepts to on-the-job situations. 5) Conclusion.

Management specialists rather than librarians were selected as instructors because we wanted people with in-depth knowledge of advanced management skills. We also wanted the librarians attending the courses to be exposed to the professional manager's perspective, vocabulary, and value structure so they could relate more effectively to their own managers.

Course Development and Training of Instructors

Once the instructors were selected, they worked closely with the training coordinator and the advisory committee to become familiar with the special library environment and to develop the courses. The steps involved in this training and course development process were as follows:

1) Instructor developed a preliminary outline and submitted it to training coordinator.

2) Outline was sent to appropriate advisory committee members for review and modification.

3) Instructor met with his advisory committee members and the training coordinator to identify subtopics and begin formulation of course content. Advisory committee members suggested readings, resource materials, etc., that instructor could use to become acquainted with the special library environment.

4) Instructor visited selected special libraries -- those of his advisory committee representatives and others as appropriate.

5) Instructor developed detailed course outline, course objectives and resource materials.

6) Outline, objectives and materials were sent to advisory committee members and project staff so the instructor's work could be critiqued.

7) Instructor finalized course content based upon advisory committee and project staff recommendations.

8) Participants' needs and expectations were surveyed at time of registration so the instructor could gear the course to the needs of the group.

9) Instructor incorporated survey results into the course outline.

10) Course was held. Project staff and, when possible, advisory committee members attended and evaluated the course. Based upon the needs of the group, instructor could make modifications while the course was in progress.

11) Evaluation data from participants, advisory committee members, project staff, and instructor were gathered and analyzed. These data will be used to identify changes to be incorporated into the course the next time it is held.

The instructors felt that the extensive training and course development process was vital to the success of the courses. The three instructors who made site visits to special libraries indicated that this preparation was the most valuable aspect of the pre-course training. They felt that the opportunity to see how a special library actually operated, how tasks were performed, what kinds of people it employed, and how the library fit in with its parent organization was extremely important to the course development. This indoctrination enabled the instructors to make more informed decisions about course content and to be more responsive to the questions and concerns of the participants in the classroom. The one instructor who did not familiarize himself extensively with the special library environment felt that this lack of familiarity was a major drawback in being able to communicate with participants. While the library-oriented instructional materials were well received by participants, most felt that the instructor's familiarity with library problems and terminology was more important to the success of the courses.

Selection of Participants

The courses were offered free to special librarians in the Washington area. The following general criteria were used in the selection of participants:

1) Managerial responsibility - Participants had to have current management responsibility in the topics covered in the workshop. This was crucial as the courses were designed to deal with on-the-job problems and situations which participants faced in their current positions. They were not designed to provide training for future managers.

2) Type of Library - To provide the librarians with exposure to a variety of situations and modes, participants were selected to represent a cross-section of types of special libraries (special, federal, large, small, profit, non-profit etc.). Where possible several participants from the same type of library were selected to attend each course. This made it possible to target small group work to the specific needs of each type.

3) Previous participation - Because of the limited number of available spaces per course, individuals could attend only one in the series. Libraries could send only one participant per course. (The one exception to this was the Planning for Special Library Management Course. In this course libraries were encouraged, but not required, to send teams of 2-5 persons. It was anticipated that the team approach would allow input from a number of people involved in the management of the library and make it easier to apply the plan in the work environment.)

4) Receipt of application - All other factors being equal, the date of receipt of the application form was used to determine selection.

The volume of response was as follows:

- Human Resources Management

Number of applicants	18
Number of participants	18

- Financial Management
    - Number of applicants 24
    - Number of participants 22
- Planning for Special Library Management
    - Number of applicants 60
    - Number of participants 27
- Management Communications
    - Number of applicants 28
    - Number of participants 22

These courses were geared to librarians with little or no previous management training. Administrators of other programs may want to explore the possibility of providing more advanced training to library managers who have been exposed to the basics or develop follow-up courses for participants in the core curriculum.

Publicity

Brochures were developed and distributed before each workshop. Each brochure contained background information about the project, specific information about the course in question, and a detachable registration form. Additional information included access to public transportation, parking facilities, a map indicating the location of the COG offices and the name of someone to contact for further information.

On the back of the registration form participants were requested to supply the following information: years of managerial experience, number of employees in their library, previous formal training in the workshop topics, a brief description of their present duties, major expectations regarding what they hoped to gain from the workshop, and specific problem areas they hoped to see addressed at the workshop. This information was used to select participants and to make last minute course modifications.

Brochures were distributed four weeks before each course. Many applicants felt that this was not a sufficient period of time and suggested that six or seven weeks would be more appropriate. This was especially true for applicants from large libraries who had to work their way through several layers of bureaucracy to get permission to attend the workshops.

Publicity was distributed to special library members of the Library Council and to members of the D.C. Chapter of the Special Libraries Association. SLA mailing lists were purchased from the SLA headquarters in New York. About 1400 brochures per workshop were distributed in the region. While there was some cost involved, using the Speical Libraries Association's mailing list, which often includes members' home addresses, was helpful in reaching individuals who might not otherwise see materials sent to the main office at their library.

Course Implementation

The four courses were held in February, March, April and May of 1979. Each course was three days in length, beginning at 9 and ending at 4. Some were held on three consecutive days and others staged over a week. We have found the most effective approach for scheduling a three day course is to hold it on two consecutive days with a one or two day break before the third day. This is close enough to establish a sense of continuity and group identification, and yet the break allows people to return to their libraries to catch up on their work. It also gives participants time to think in-depth about what they have learned at the workshop and discuss it with their colleagues. Instructors often use the opportunity to make homework assignments which encourage participants to go more deeply into the course material.

Each workshop could accomodate approximately 20-25 participants. This is the optimum number for an experiential, interactive workshop. With more participants, group discussion becomes inhibited and there is not enough time for the instructor or the group to become involved with individual problems. With too few participants, the pool of expertise and experiences is too small to provide participants with exposure to a wide range of ideas.

The workshops were designed to provide participants with factual information and practical experience through a variety of formats including formal lectures, case study analyses, simulations, small group problem solving sessions and full group discussions. Varying the instructional format has a number of advantages: it relieves the tedium of experiencing one type of activity for three days; it allows participants to experiment with a number of techniques and find those that work best with their own learning style; and it exposes the participants to a variety of types of information and experiences.

Evaluation

A written survey of participant opinion was taken at the end of each course (see Appendix B). This information assisted the project staff in evaluating the workshop in the following areas:

- The instructor's delivery and interaction with the group
- Accomplishment of workshop objectives
- Most and least valuable aspects of the course
- Recommended changes

A similar survey was made to determine the reaction of the instructors to each course (Appendix C). They were asked to evaluate:

- Their own general level of satisfaction with the course
- Value of the pre-course orientation
- Responsiveness of participants
- Differences between this group and others they have taught

These instructor and student evaluations have been included in the unit reports in Part II of this document.

Dissemination

Throughout the year the project staff made contact with a number of special library groups to publicize the project and generate interest in using the dissemination document. Contact was maintained with the headquarters of the Special Libraries Association in New York. This included meeting with Mary Frances Hoban, the SLA staff member in charge of continuing education, to inform her of project developments and indentify ways of publicizing the final report. The project staff also sent copies of all reports to the chairman of SLA's Continuing Education Committee, Muriel Regan, and the president of SLA's D.C. chapter, James Olsen.

An announcement was submitted to Special Libraries, the journal of the Special Libraries Association, describing the program and the forthcoming dissemination document. The announcement was carried in the June 1979 issue. Copies of this announcement were also distributed at the SLA national conference in Hawaii.

This report will be made available through ERIC and GPO, and by ordering directly from the Metropolitan Washington Library Council.

Findings and Recommendations

The following recommendations are based upon the suggestions and observations of the workshop participants, instructors, advisory committee, and project staff. These recommendations will serve as guidelines for those interested in developing similar programs.

- THE EMPHASIS IN THE COURSES SHOULD BE ON THE DEVELOPMENT OF PRACTICAL SKILLS TO BE APPLIED TO WORK-RELATED ISSUES.

While it was necessary to give some theoretical background in the courses, most participants preferred discussing the practical application of management skills. Participants responded favorably to exercises and discussions which applied problem solving techniques to specific work-related issues. Based on our past experience we have found this to be typical of interdisciplinary continuing education efforts. Participants attend a particular workshop not so much because they are intellectually curious about the subject matter, but because they have immediate practial problems for which they need solutions. This makes such techniques as problem analyses and precourse surveys of problem areas extremely important in the development of course content. These problems form the foundation around which the course is built.

- EFFECTIVE ORIENTATION OF THE INSTRUCTORS WAS THE MOST IMPORTANT STEP IN DEVELOPING THIS PROJECT.

Unless the instructors understand the environment, vocabulary, and issues with which special librarians deal they will have limited credibility with the participants. In the beginning the instructors had very little understanding of the special library environment although some felt their experience in using public and academic libraries would give them enough information to work with. This turned out not to be the case. The three out of four who had the precourse training proved to be the best prepared for questions and issues that were specific to special libraries.

- THE MOST IMPORTANT ELEMENT OF INSTRUCTOR PREPARATION WAS THE SITE VISITS.

Three of the instructors visited at least two special libraries prior to the courses to see the physical layout and speak with line supervisors and support staff. This gave them a much broader perspective on the management problems with which the participants were dealing. The one instructor who did not make any site visits indicated that he wished that he had and would do so if he were to teach the course again.

- THE SECOND MOST IMPORTANT ASPECT OF THE TRAINING OF THE INSTRUCTORS WAS THE MEETING WITH THE SPECIAL LIBRARIANS ON THE PROJECT ADVISORY COMMITTEE.

All of the instructors indicated that these meetings were instrumental in helping them understand the needs of the participants. The instructors did point out that meeting with representative bodies such as this was fairly uncommon, but all felt that it had been extremely helpful. Administrators of training programs in other areas may find some resistance to these meetings. The experience of this project, however, indicates that these sessions are extremely important to the success of the training program.

- OF LEAST IMPORTANCE IN THE TRAINING OF INSTRUCTORS WAS OUTSIDE READING OF THE LIBRARY LITERATURE.

The general feeling of the instructors was that although they gained some insight into the general problems of special library management through outside reading, the state of the art was not particularly well covered in the literature. Much more timely and relevant information was obtained from talking directly to special librarians.

- THE INVOLVEMENT OF THE PROJECT ADVISORY COMMITTEE WAS CRUCIAL TO THE SUCCESS OF THE PROGRAM, AND USE OF THIS TYPE OF COMMITTEE IS STRONGLY RECOMMENDED FOR SIMILAR PROGRAMS.

The advisory committee served several functions. They served as resource persons for the instructors by arranging site visits, meeting with them to help formulate course content and discuss special library issues, and suggesting outside readings. The committee members were equally important as a resource for the project staff. They helped the project director, who was not a special librarian, to identify training needs, make logistical decisions such as what times, dates, locations might be the most convenient for special librarians, and reviewed the final report. In addition members of the committee monitored the courses, serving as resource persons, suggesting last minute course modifications and giving informal feedback to the instructors and the project staff while the courses were being conducted. The committee also served as unofficial spokesmen for the project. Because they are influential members of the Washington special library community they generated a great deal of local interest and confidence in the courses.

- A FORMAL NEEDS ASSESSMENT MEETING SUCH AS THE ONE HELD AT THE BEGINNING OF THE PROJECT YEAR IS STRONGLY RECOMMENDED.

The needs assessment meeting had a number of benefits. Most importantly it identified the training priorities of special librarians in the Washington area. The results provided the project staff with guidance in the selection of course topics. Conducting the needs assessment in a meeting environment stimulated interest in the project on the part of the local special library community and allowed the project staff to elicit more detailed information than would have been obtained through written forms. Those librarians who participated in the meeting were pleased to have been consulted about the proposed courses, and a significant number of them subsequently attended the workshops. The advantages of this type of needs assessment must be weighed against the time and effort required to develop a concensus-seeking methodology, organize a large meeting, train group leaders, and follow-up on specific course suggestions. In this project we felt that the advantages far outweighed the disadvantages.

- BACKGROUND INFORMATION ON PARTICIPANTS SHOULD BE COLLECTED BEFORE WORKSHOPS ARE HELD.

In this project information collected on the course registration forms was useful in identifying course subtopics and in making sure that the content and level of training desired by participants were compatible with that of the courses. If it appeared that they were not compatible the project staff consulted the applicants directly. In a number of cases participants withdrew their applications when told that the courses were not what they were expecting. This prevented the applicant from being disappointed in the course and made a space available for someone whose needs fit more closely with the workshop objectives.

- ORIENTATION OF INSTRUCTORS SHOULD TAKE PRECEDENCE OVER THE DEVELOPMENT OF INSTRUCTIONAL MATERIALS.

The library-oriented instructional materials developed for these courses were well received by participants. Many noted, however, that the instructors' familiarity with library problems and terminology was more important to the success of the courses than the materials. It is suggested that if administrators of similar programs do not have the time or money both to train instructors and develop library-oriented materials emphasis should be placed on the initial training of instructors.

Conclusion

The enthusiastic response of the Washington special library community to this series of courses attests to their desire for management training. The positive response of the participants attests to the value of tailoring management training to meet the needs of special libraries. As a result of their involvement in the courses, participants state in their evaluations that they have a greater understanding of new management techniques and theories as they specifically relate to the special library environment. They also have greater self-confidence which should help them in dealing with their own managers. In addition they have had an opportunity to discuss their problems and concerns with their peers and learn from and support one another.

In an attempt to make the results of this experience carry over beyond the scope of the original project, the Library Council is currently exploring ways of modifying the courses to other types of libraries -- specifically academic and school libraries. This will involve some retraining of instructors and modification of course materials but should be less time consuming now that the methodology has been developed and tested.

The administrative guidelines in Part I of this report are designed to provide training administrators in other areas with a blueprint for developing similar projects. Part II contains specific information on the courses themselves. This section is for management trainers with expertise and experience in the course topics who are developing courses for special librarians to use to see what was effective with a similar group. It is not designed to equip the non-trainer or non-management expert with enough material and background information to teach a course. Each course is described in detail and most of the instructional materials are reprinted. The case studies and work sheets that have been adapted to the special library environment can be used to replace more traditional business-oriented materials. The problem areas identifed by participants (See Background Information for each course in Part II) should also be useful in understanding the types of problems and issues which special librarians face.

MODEL MANAGEMENT CURRICULUM FOR SPECIAL LIBRARIES

PART II - CURRICULUM GUIDE

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human resoures management

HUMAN RESOURCES MANAGEMENT*

February 28, March 1, 2, 1979

BACKGROUND INFORMATION

CLASS PROFILE

Number of applicants: 18
Number of participants: 18
Years of managerial experience:
  0-5 years - 5 participants
  6-10 years - 6 participants
  11+ years - 3 participants
  no response - 4 participants

Size of library:
1-5 employees - 3 participants
6-10 employees - 4 participants
11-20 employees - 1 participant
21+ employees - 6 participants
no response - 4 participants

PROBLEM CENSUS (Identified by participants)

How to:

- conduct a performance evaluation
- change staffing patterns
- motivate in a threatened environment
- manage conflict
- handle willing but unable employees
- take over as a new manager
- build a management team
- plan
- prioritize
- delegate
- interview and select
- impose discipline
- plan and communicate creatively
- assess management
- increase productivity
- deal with the over-emotional subordinate or manager

INSTRUCTOR

John Tikoian
Tikoian Associates
P.O. Box 304
Rockville, Maryland 20850
Phone: 301/340-9110

RESOURCE PERSONS

Yvonne Hill - Department of Transportation
Carol Pyke - Urban Institute
Ruth Smith - Institute for Defense Analyses

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HUMAN RESOURCES MANAGEMENT

COURSE OUTLINE

MAJOR TOPICS COVERED IN THE THREE DAY PROGRAM

- MOTIVATION AND COMMITMENT
- HUMAN RESOURCES PLANNING
- STAFFING
- ORGANIZATIONAL BEHAVIOR
- TRAINING AND DEVELOPMENT

Day 1

The program opened with an overview of the component areas and skills involved in human resources management (page 34). With the overview in mind each participant prioritized and each top priority challenge was recorded by the instructor (page 23). Each of the priorities was then shown to fit into a dynamic model of a human resources management system, each part of the system serving the whole (page 35).

The instructor addressed the subject of perceptions analysis i.e. organizing one's perceptions of individuals. Lecture and exercises were used to identify individual styles of communication and how they impact upon one's perception of individuals. Participants described the characteristics, traits, abilities and philosophies of people in their organizations from top managers to subordinates. Instructor then identified four basic styles of communication based on the work of Karl Jung. The four styles are: Intuitor, thinker, feeler, and senser (page 36). Each class member identified his or her own personal style and the styles of the people he or she works with. The major points were that 1) we are each a blend of the four styles, 2) we tend to use one or two styles more than the others 3) we are often more receptive to people whose styles are like our own. These styles become management tools and it helps to understand how they conflict and work together (pages 37-38). Participants then returned to the problem areas identified at the beginning of the day and discussed what personality style would be likely to be associated with what problem and the best way to handle each problem in terms of the personal styles involved.

Instructor and participants discussed styles of leadership and task vs. process approaches to management (pages 39-40). These were related back to the styles of communication to develop profiles of the participants and their co-workers.

Day 2

The instructor discussed planning as a integral part of human resources management. Participants identified organizational goals which were restructured into objectives and then into activities (pages 41-43). The major steps in implementation are as follows: Mission-should be readily apparent within an organization; goals-brainstorm ideas for goals with staff and assign values to goals and priorities; objectives-take major goals and list how to achieve them against brainstorm with staff. Objectives should be measurable, obtainable, timelimited, and action oriented. They should be reviewed regularly. Activities which will achieve objectives should be listed and prioritized. As a homework assignment participants were asked to take a mission, personal or work-oriented, and write a plan of action for one of the major goals. One of the participants submitted a worksheet she had developed which identified some of the major objectives and duties of the reference department of her library. It was felt by the instructor and the students to be a good example of the planning process (pages 44-50).

One of the major documents in the human resources management system is the job description. Once an organization's goals, objectives, and activities have been analyzed, the manpower needed can be identified and the major functions for each position can be determined and job descriptions written (pages 51-52). The emphasis in this sytem is on using the job description as a planning and control tool. Participants were presented with an appropriate job description for a reference librarian (pages 53-54).

Performance appraisal is the first application derived from the job description. The system presented by the instructor was an MBO approach based on participative goal setting, objective criteria and regular review. Self assessment is an inherent part of the approach (pages 55-56).

From the job description the subordinate lists major duties and what he will accomplish (Major Results Areas: MRA's for the next year.) These are worked into objectives which in turn are worked into indicators (results sought). The indicators are the focal point of appraisal. Each objective along with its indicators are prioritized and assigned a value on the base of 100. Then, at the end of the year, accomplishment of each objective (indicator) is rated into an achievement value and totaled. Final appraisal is directly related to the total (sum of) achievement values(s) (pages 57-60).

Day 3

This session focused on subordinate training and development. These elements are directly related to progress in attaining objectives. Managers learn to use the appraisal process as a motivational, developmental, and training tool (page 61). Delegation is the major developmental tool available to managers. Participants were given guidelines for the process of delegation (page 62), along with a delegation self-assessment and worksheet (pages 63-64). These combine to form individual delegation action plans.

Day 3 (continued)

Counseling was presented as an active management skill to either develop or change subordinate behavior. Participants were taught how to focus on the problem rather than the person. The major objective is to get the subordinate to make his own decisions either for development or change (page 65). Training is often used as a developmental or corrective management tool. A systems approach to training was presented. Areas stressed were: needs analysis, program selection/implementation, evaluation, and follow-up and learning transfer determination.

The last major area presented in the Human Resources Management system was selection interviewing. After taking a self-assessment survey (pages 66-67), participants learned how to plan and prepare for interviewing. Again, the job description was used as a source document. Participants learned how to: construct ideal candidate profiles, conduct preliminary and in-depth types of interviews, evaluate what they have heard by using self-assessment questions, and use decision-making candidate balance sheets (pages 68-72).

The program ended with a review of the participants' challenges for Day 1 to show how specific program components or skills could be used to handle these problems.

HUMAN RESOURCES MANAGEMENT

EVALUATION SUMMARY

In order to insure that our programs continue to meet the needs of participants, would you please take the time to evaluate the program you have just completed.

Please rate each of the items below according to the categories indicated by placing a check (✓) above the appropriate number adding comments where necessary or appropriate.

1. In general the objective of the workshop was to introduce participants to theories and techniques of human resources management. To what extent was this objective accomplished for you by the workshop program?

Not at all			1	1	14	Very well
	1	2	3	4	5	

1 No Response

AVERAGE RESPONSE 4.8

2. If you feel the workshop objective was successfully achieved for you, indicate the one factor that contributed most to its success. Likewise, if you feel it was not successfully achieved for you, indicate the one factor that contributed most to its failure.

See Page 29

3. Your personal expectations for the course:

Not achieved			1	5	11	Exceeded
	1	2	3	4	5	

4.6

4. Design of the course:

Poor			1	6	10	Superior
	1	2	3	4	5	

3.5

5. Complexity of the course material:

Too simple			12	4	1	Too complicated
	1	2	3	4	5	

3.4

6. Course content:

Too theoretical			15	2		Too practical
	1	2	3	4	5	

3.1

7. Information obtained from other participants:

4.0

No new helpful information		1	3	5	8	A great deal of new helpful info.
	1	2	3	4	5	

8. Rate the course instructor in terms of content and delivery:

John Tikoian

		1	2	3	4	5		AVERAGE RESPONSE
Content:	Poor			1	1	15	Excellent	4.9
Delivery:	Poor				1	16	Excellent	4.9

Comments: See Page 29

9. List the most valuable and least valuable aspects of the course for you:

MOST VALUABLE	LEAST VALUABLE
See Page 29	See Page 29

10. What changes would you recommend? See Page 30

11. Do you have any suggestions for additional courses which the Council of Governments might offer to meet your special needs or those of your library?

See Page 30

12. Please add any additional comments, criticisms, and suggestions you may have concerning course content, format, instructor, and your needs.

See Page 30

HUMAN RESOURCES MANAGEMENT

Evaluation Summary
(con't)

Attachment for question 2 - Factors contributing to overall success or failure

- Careful presentation of instructor, knowledge of subject, style of presentation (7)
- Continued reference to the needs of special librarians
- Excellent presentation of instructor combined with group participation
- Introduction of concepts with follow-up discussion including participants
- Success and experience of the instructor
- Theory translated into job situations
- Opportunity to participate in activities such as writing job descriptions
- Comprehensive and well-organized format
- Practical approach
- More time could have been spent on team-building

Attachment for question 8 - Evaluation of Instructor

- Established an immediate rapport; individualized group contacts
- Dynamic; covered a lot of material in a short time (3)
- Successfully translated theories into practical action-oriented programs
- Very responsive to students' needs
- Informative and entertaining
- Successful illustration of the techniques he advocates
- Difficult to follow topics the first day

Attachment for question 9

Most valuable aspects of course:

- New techniques and approaches; self-assessment
- Presentation of leadership, management styles
- Assessment of organizations' management climate
- Work on job descriptions and evaluations; handling personnel problems
- Planning unit objectives
- Total systems approach
- Awareness of leadership styles
- Workbook, handout examples, and participant feedback
- Performance appraisals and counseling

Least valuable aspects of course:

- Beginning of course - list of expectations
- Interviewing discussion
- Examples from the business world
- Selection interviewing

Attachment for question 10 - Recommended changes

- ½ day session for 1 week (2)
- Better media mixture
- Having each participant clarify his/her environment, staffing situation, etc.
- More even distribution of time for each topic covered
- None (6)

Attachment for question 11 - Other training needs

- Report-writing skills
- Team building between professionals and para-professionals
- Occupational anxieties
- A paid follow-up to this workshop
- Career planning
- Relationship between librarian and upper management
- How to evaluate and sell library services

Attachment for question 12 - Additional comments

- "I feel I should be a better supervisor as a result of participating in this workshop."
- "The instructor was extremely interested and available to participants to discuss special needs."
- "Hoping for a follow-up"
- Better ventilation (2)

HUMAN RESOURCE MANAGEMENT

EVALUATION BY INSTRUCTOR

As part of our evaluation of the Metropolitan Washington Library Council's management training program for special librarians, we are asking you to complete this questionnaire. Your reactions will help us in assessing the effectiveness of this workshop and in structuring future courses. Thank you for your cooperation.

NAME: John Tikoian 3/3/79

1. Were you generally satisfied with the outcome of this course? Yes, objectives, content, exercises were will received. Participation and contributions by group were very high and constructive

2. Did you feel that your pre-course orientation to the special library environment adequately prepared you to address this group? What was the most valuable: consultation with advisory committees; site visits; background readings, etc.? What would you change or add?

Pre course orientation was crucial to developement and success. Most valuable was 1) site visits 2)consultation w/ advisory group 3) pilot run in one day version 4) background readings. I would add more site visits to get more samples of what participants are doing now for each topic area of the training.

3. Please comment on the responsiveness of the participants (amount of discussion, group interaction, interest, enthusiasm, etc.).

Responsiveness of the group was very high. Examples are: 1) Amount of materials as examples contributed by members- Job descriptions, evaluations, articles, books, etc. 2) Active discussions 3) High desire to implement new skills.

4. What differences, if any, did you note between this group and others you have addressed with similar presentations?

This group had a much higher than usual desire and need for implementations of motivational management systems. Apparently, very little of their formal education & training includes managerial skill development. Also, their budgets in libraries prevent them from getting the training they need.

5. Were you adequately informed as to what was expected of you?

Yes, Course objectives were clearly expressed and contractually bound.

6. Do you have any comments or suggestions which might help us in planning and implementing future workshops?

Be sure that practical implementations are included for all content. Emphasize a systematic, well organized presentation.

7. Would you be willing to participate in similar workshops for special librarians in other parts of the country?

Yes, I enjoyed the experience personally and professionally. I learned a great deal myself in the course of the 3 days about their unique challenges and desire for excellence in all aspects of their job.

John Tikoian

HUMAN RESOURCES MANAGEMENT

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THE COMPONENTS OF HUMAN RESOURCES MANAGEMENT

1. HUMAN RESOURCES PLANNING

- Determining manpower objectives
- Job Analysis
- Job descriptions
- Organization analysis

2. STAFFING

- Utilizing practical job information
- Recruitment
- Selection interviewing
- Selection
- Appraisal
- Legal issues

3. ORGANIZATIONAL BEHAVIOR

- Management and leadership patterns
- Communication and frame of reference patterns
- Descriptive "HOST" analysis

4. TRAINING & DEVELOPMENT

- Training philosophy
- Determining training needs
- Selecting training programs
- Developmental continuity
- Evaluating training

5. MOTIVATION & COMMITMENT

- Financial motivators
- Nonfinancial motivators
- Productivity
- Attitudes
- Interpersonal perception

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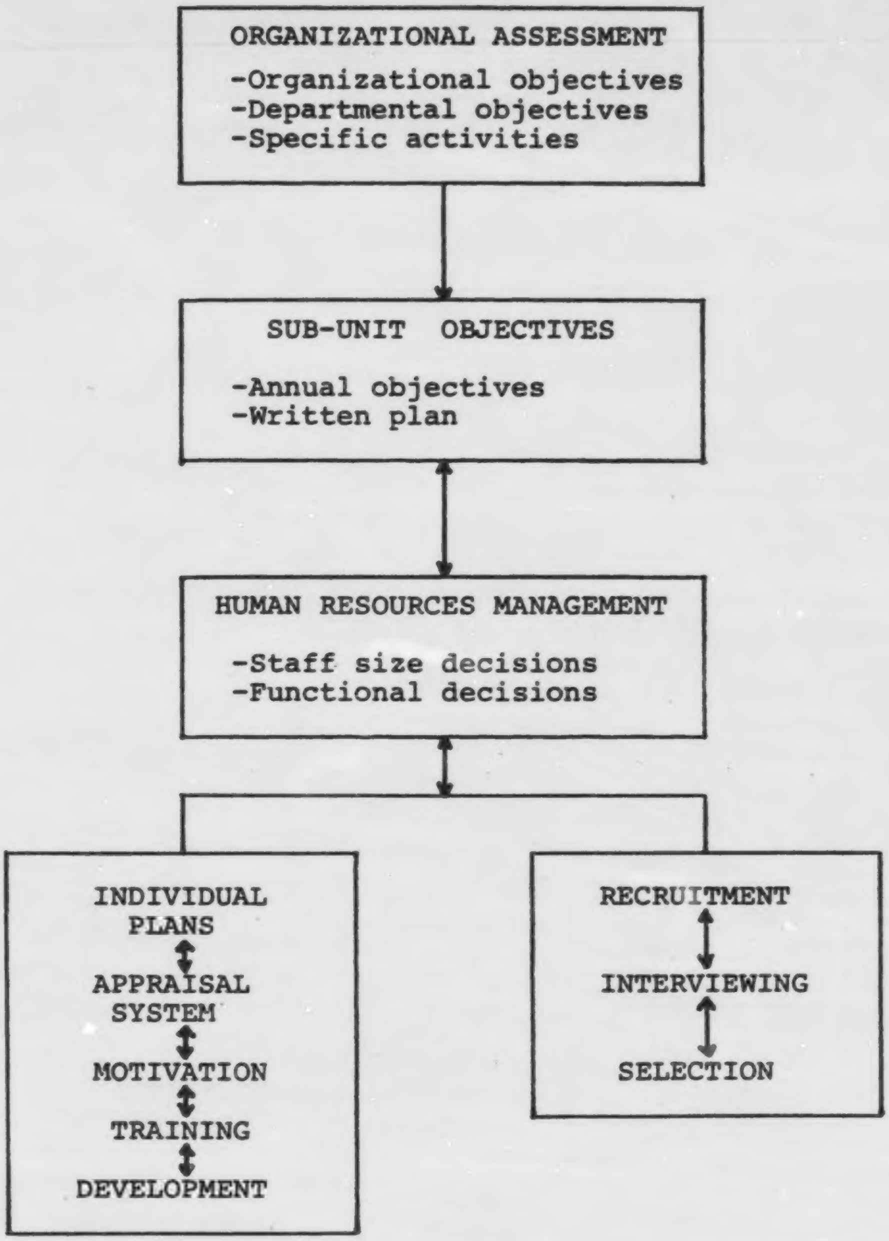
HUMAN RESOURCES MANAGEMENT SYSTEM



ORGANIZATIONAL ASSESSMENT

-Organizational objectives
-Departmental objectives
-Specific activities

SUB-UNIT OBJECTIVES

-Annual objectives
-Written plan

HUMAN RESOURCES MANAGEMENT

-Staff size decisions
-Functional decisions

INDIVIDUAL PLANS
APPRAISAL SYSTEM
MOTIVATION
TRAINING
DEVELOPMENT

RECRUITMENT
INTERVIEWING
SELECTION

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THE STYLE CHARACTERISTICS

INTUITOR	THINKER	FEELER	SENSER
Future-oriented Visionary	Linear time view past-present-future	Past-oriented past-maintaining	Present-oriented now-oriented
Imaginative	Logical	Personal	Efficient
Idea-oriented	Conceptual	Adaptable	Practical
Intellectual	Deductive	Responsive	Perfectionist
Individualistic	Analytical	Empathetic	Independent
Envisions possibilities	Principled	Accepting	Assertive
Idealistic	Objective	Subjective	Results-oriented
Cause-oriented	Detail-oriented	Development-oriented	Decisive
Seeking excellence	Cautious	Understanding	Opportunistic
Dislikes routine	Considers alternatives	Supportive	Thorough
Dramatic	Systematic	Respectful	Risk-taking
Stimulating	Spartan tastes	Personable	Competent
Unmoved by status	Frugal	Prefers the familiar	Realist
Let's things happen	Structured	Flexible	Autocratic
Concept-oriented	Comparative	Loyal	Self-confident
Destiny-oriented	Serious	Emphatic	Tactical
Sees big picture	Persistent	Encouraging	Seeks variety/mobility
Prefer the new	Prefer privacy	Prefer involvement	Prefer action
Dislike repetition	Habitual	Aware of feelings	Precise
See answers quickly	Sense of justice	Seek praise	Verbally direct
Seek new problems	Moderation	Empathetic	Expedient
Impatient with routine	Must know reasons	Responsive	Seeks impact
Enjoy the complex	Process-oriented	Diplomatic	Control-oriented
Original	Accurate	Agreeable	Self-sufficient
Inspired	Fact-oriented	Influential	Bottom-liner
Complex	Patient	Relationship-oriented	Competitive

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INFLUENCING GUIDE

When the person you want to influence is a	DO THIS	DON'T DO THIS
SENSER	TALK IN TERMS OF RESULTS	PREPARE DETAILED, LONG REPORTS
	BE SPECIFIC AND TO THE POINT	DWELL ON LONG RANGE OBJECTIVES
	REINFORCE PAST RESULTS	BE VAGUE ON EXPECTATIONS
	COMMEND ENERGY, DRIVE	BE OVERLY INTELLECTUAL
	TALK SHORT TERM PLANS	INPUT TOO MUCH AT ONCE
	ASSIGN TO QUICK RESULTS PROJECTS AND WORK	ASSIGN TO LONG TERM RESULTS PROJECTS AND RESULTS
	STRESS ACTION PLANS AND SHORT TERM DEADLINES	INSIST ON WRITTEN REPORTS: BALANCE ORAL & WRITTEN
THINKER	BE LOGICAL, WELL ORGANIZED, SPECIFIC	BE OVERLY AGRESSIVE OR DOMINEERING
	COMMEND LOGIC, CAUTION, RATIONALITY, PRUDENCE	OVEREMPHASIZE RESULTS, BOTTOM LINE
	TIE PAST RESULTS TO PRESENT CONCERNS AND NEAR TERM FUTURE PLANS	CUT CORNERS IN AN EFFORT TO SAVE TIME IN A CRISIS MODE
	ASSIGN PROJECTS THAT REQUIRE PRECISE ANALYTICAL APPROACH	ASSUME THAT HE/SHE WILL SEE PRIORITIES AS YOU WILL
	ALLOW SUFFICIENT TIME TO COVER ALL DETAILS	BE OVERLY EMOTIONAL OR SEEK PERSONAL APPROACH
	STRESS FACTS, EVIDENCE	START WITH SMALL TALK
	WRITE IT	PUSH ON THE PHONE
FEELER	SHOW SUPPORT AND CONCERN	BE OVERLY DEMANDING
	STRESS YOUR NEED FOR HELP	BE COLD AND ALOOF
	PROVIDE PERSONAL RECOGNITION FOR ACHIEVEMENT	PRESS HARD FOR IMMEDIATE RESULTS OR CHANGE
	COMMEND ENTHUSIASM, LOYALTY, SENSITIVITY, AWARENESS	SEEK GREAT ANALYTICAL DETAIL, PRECISION, IMMEDIATE ACTION
	ALLOW WORK WITH OTHERS	ASSUME DEADLINES
	OFFER YOUR PERSONAL HELP AND BE ENCOURAGING	ALLOW LONG LAPSES FOR REVIEW AND CONTROL CHECKPOINTS
	CLOSE PERSONAL FOLLOWUP	PUSH ON WRITTEN FOLLOWUP
	BE NEGOTIABLE	BE IMPERSONAL

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INTUITOR	COMMEND CREATIVITY, VISION	EXPECT ACTION-ORIENTED BEHAVIOR
	ALLOW TO USE CREATIVE, INNOVATIVE APPROACH	RELY ON A WARM PERSONAL APPROACH
	EXPRESS CONCERN FOR LONG TERM RESULTS/POTENTIAL	BE OVERLY DEMANDING OR DOMINEERING
	BE FUTURE ORIENTED	EXPECT PRAGMATIC ACTIONS
	FOLLOWUP REGULARLY	ALLOW TOTAL AUTONOMY
	RELY ON INTELLECTUAL APPROACH	PERMIT TASKS TO REMAIN UNSTRUCTURED
	EMPHASIZE BIG PICTURE	BE OVERLY SPECIFIC, ANALYTICAL, DETAILED

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- **TASK/STRUCTURE TRACKING GUIDE**
- **PROCESS/PEOPLE TRACKING GUIDE**

TASK/STRUCTURE CATEGORIES

-Makes attitudes clear to group

-Tries out new ideas in group

-Does not rule autocratically

-Criticizes poor work

-Speaks authoritatively

-Works with a clear plan

-Designates specific member tasks

-Asks that members follow organizational guidelines

-Insures that members are working up to capacity

-Maintains definite standards of member performance

-Coordinates the work of members

-Emphasizes meeting deadlines

-Encourages use of uniform procedures

-Makes his/her role clearly understood

-Lets members know what he/she expects of them

-Encourages goal-setting

-Encourages prioritization

-Finishes on time

PROCESS/PEOPLE CATEGORIES

-Does favors for group members

-Does little things to make things pleasant in the group

-Is easy to understand

-Does not keep to him/herself

-Finds time to listen to others

-Looks out for welfare of others

-Willingly explains actions

-Consults the group before acting

-Welcomes new ideas

-Treats all members equally and as his/her equal

-Is willing to make changes

-Makes members feel at ease

-Is friendly and approachable

-Tries to put suggestions into operation

-Gets approval on important matters before implementing actions

-Enthusiastic and committed

-Encourages expression of feelings

-Handles conflict without putting others down.

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STYLE	EFFECTIVE APPLICATION	INEFFECTIVE APPLICATION
HT/LR	Has well defined methods for accomplishing objectives. Goals are helpful to subordinates. Takes prompt actions. Tries to beat deadlines. Drives self and others. Task-oriented. Results-oriented.	Imposes methods on others. Seen as unpleasant at times. Interested in short-term output. Fits people into the work. One way communicator. Pushy. Dictatorial. Produce or perish attitude. People goals often ignored. Reports only on results.
HR/HT	Satisfies the needs for setting goals and organizing work. Provides high levels of support. Seeks team action. Commitment is important. Sets high goals. Draws out divergent opinions. Committed to productive work. Desire for mutual respect.	Initiates more structure than is needed by subs. Appears phoney in interpersonal communication. Too much "cheerleading". Goals out of reach. Stirs up conflict. Overanalyzes the work.
HR/LT	Implicit trust in other people. Tries to facilitate others' development and goal accomplishment. People-oriented. Expects loyalty. Involve subordinates. Informal atmosphere. Stresses high morale. Sees subordinates as the most important product or service of the organization.	Gullible. Too interested in harmony. Soft. Won't risk hurting someone to get a job done. Fits work around people. Seen as "company-person". Overboard on group action. Sloppy. Won't confront conflict. Can't get the job done on time.
LR/LT	Delegates to subordinates. Provides little structure. Provides little support. Leaves subs alone. Feels others can get it done. Avoids conflict. Likes to work alone.	Shirking responsibility. Doesn't know what to do. Couldn't care less. Is present yet absent. Does the minimums. Seems too neutral. Derives satisfaction outside of work. Lets others make personnel decisions. Never questions the boss. Seeks personal survival. Don't make waves.

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OVERVIEW OF PLANNING AS A PROCESS

Long term planning (LTP) is the expression of the organization's basic philosophy. With planning, organizations reject the REACTIVE method of operating in favor of a PRO-ACTIVE attitude. Any organization can

ANTICIPATE CHANGE and CREATE CONDITIONS AND CHANGES DESIRABLE TO ITSELF.

LTP is not a one-shot activity. Rather, because change is continuous, long term planning should be a continuous process. This entire program is based on the premise that LTP will be a continuing activity.

PLANNING METHOD

Step 1 - Determining where we want to go and where we want to be.
DETERMINING OUR OBJECTIVES.

A. Qualitatively.
B. Quantitatively.

Step 2 - Determining where we are right now.
SITUATION AUDIT.

A. Current internal strengths.
B. Current internal challenges and ineffectiveness.
C. Environmental Opportunities.
D. Environmental Challenges and Threats.

Step 3 - Deciding what we can do and how we can take action.
ACTION PLANS.

A. Strategic Plans-Overall WHAT & WHEN.
B. Action Plans-Divisional or sub-unit WHAT & WHEN.
C. Contingency Plans-WHAT IF'S.
D. Implementations.

Step 4 - Monitoring our progress at regular intervals and reporting.
CONTROLLING.

A. Feedback on where we are versus where we wanted to be.
B. New action plans and modifications.
C. New controls.

WHAT SHOULD OUR OBJECTIVES BE?

1. SIMPLE. Written so that everyone can understand them to reduce multiple interpretations/confusion.
2. UNIVERSAL. Everything the organization does can relate relate to it.
3. QUANTIFIABLE. Unless it can be measured, it's worthless.
4. CONTROLLABLE. Must be able to control the events which affect their attainment.

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SPECIFIC TESTS FOR OBJECTIVES

CRITERIA	YES	NO
Is it defined in terms of results or conditions to be achieved?		
Can it be analyzed and reviewed from time to time?		
Is it time-limited?		
Are there specific milestones of achievement?		
Is it written with forceful active verbs indicating results?		
Is there an accountability assignment to a member of the organization?		
Is it formulated based on previous experiences?		
Is it stated in terms of what is to be done?		
Does it cover a single end result?		
Is it assigned a priority?		
When possible, is it written in quantifiable terms that are easy to measure, control, and communicate?		
Is it opportunistic?		
Is it a key result area?		

GUIDELINES FOR STRATEGIC PLANNING

- Keep the entire top-management team involved in the process.
- Create an environment which allows creative controversy and thinking.
- Make planning a continuous process.
- Support thinking with substantive data form studies and analysis.
- Don't delegate planning to one person but do have one synthesizer.
- WRITE your plan simply, briefly, and specifically and get it to everyone in the organization who needs to understand it.

OBJECTIVES PROBLEM-SOLVING PROCESS

1. State the desire or the problem and write it out.
2. Decide what you want the solution to do or what payoff you want from the desire or the situation.
3. Specify and list the goals which can assure the payoff of what you want the solution to do.
4. Identify and list all of the actions which can attain these goals.
5. Select the actions which best meet the criteria of what you want the solution to do or the payoff to be.
6. Write a prioritized action plan.

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-DETERMINING MANPOWER OBJECTIVES

Should be ANTICIPATORY - based on the projection of current trends and future challenges. Find the host long range plan.

TOP-DOWN APPROACH

Starts with top organizational objectives. Anticipates manning to all subunits.

BOTTOM-UP APPROACH

Starts with the analysis of individuals and individual work units. Sums data from throughout organization. Overall plans derived from sums of data.

COMBINATION APPROACH

-JOB ANALYSIS

The process of obtaining information about jobs.

-JOB DESCRIPTIONS

JD is a written statement of:

MAJOR DUTIES (what and how)
RESPONSIBILITIES (accountability)
SUPERVISORY RELATIONSHIPS.

Written by: Manager + Supervisor + Incumbent + Professionals

Guidelines: BE BRIEF - DON'T BE TOO BRIEF.

"I wield assorted manual implements of entrenchment in concerted attempts to ameliorate undesirable conditions of drainage by the excavation of canaliculate channels to provide for the timely diversion and efflux of superfluous precipitation."

"I dig ditches."

- Each position has characteristics which distinguish it from any other by which it may be recognized:

  It has a diefinite SCOPE and PURPOSE.
  It involves using certain Skills, Knowledge, and Abilities (SKAs)

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The Reference Branch exists to serve the needs of the library's clientele searching for information found through the written word or other allied media of communication. All library operations have one single objective: to provide information to the user.

MAJOR OBJECTIVES INCLUDE:

Broad Objectives

Improved quality of user services

Improved Reference and Bibliographic functions

Improved Circulation Operations: charging, discharging, and overdue control

Improved and efficient technical processing
Technical processing includes:
  New materials selection
  Order placement
  Receipt of materials
  Cataloging
  Book processing preparatory to shelving

Reduction of unnecessary duplicate purchases of library materials that have low use factor

Provision of improved subject access to current library materials

Performance of reference functions in response to requests that exceed the capacity of the existing reference staff

Improved relations with other libraries and institutions having library collections so as to benefit the user elsewhere who needs occasional use of TIPS' holdings and, conversely, to benefit the CPSC user who occasionally needs access to other library holdings

Specific Objectives

Provision of more effective means for bibliographic searching

Cataloging of incoming materials within 10 days of receipt

Listing of items in circulation on a daily basis with weekly cumulation

Reduction in duplication of effort by better utilization of personnel

Acceleration of the marking, and tagging of materials to show their ownership and location

Exit monitoring to assure that all materials removed are properly charged

Document all aspects of work to be done. Includes:
- Definite assignments of projects
- Work statement, schedule, personnel requirements
- Project reports to be submitted
- Procedures for quality review of work
- Assignment of areas of responsibility and lines of communication

Use of outside support in work involving preparation of book catalog, and shelf list record for inventory control

DATES INITIATION/COMPLETION	
Quarterly:	
7-1-74	9-30-74
10-1-74	12-31-74
1-1-74	3-31-75
4-1-75	6-30-75

Circulation

Establishment and Surveillance of Policies and Procedures

Policy Development

Performance analysis

Interlibrary Cooperation

Authorized Borrower Control
- Use of borrower identification
- Special routines for exceptional borrowers

Charging Material Procedures
- Identify types of materials frequently circulated
- Identify types of loans handled: overnight, short-term, long-term, irregular loans
- Identify types of borrowers to be served

Keep statistics of circulation function

Discharging Procedures
- Discharge materials and shelve within 4 hours
- Record discharge transaction

Overdue Control

- Identify overdue items
- Identify hard-core minority group consistently delinquent in returning materials

Interlibrary Loan
- Monitoring of ILL loan requests - incoming
- Monitoring of ILL loan requests - outgoing

Output Generation
- Charge records
- Overdue notices
- Preparation of printed circulation and discharge lists

Special Non-Circulating Materials

Establishment of control procedures

Maintenance of special transaction files for non-circulating materials

Reference Inquiry
- Identification of items on loan
- Identification of missing items

Materials handling, storage, and maintenance of the collection

Retrieval of requested items

Reshelving and maintenance of items

Physical preservation of items

Inventory of collection

Purging of outdated and unwanted items

Reference and Bibliographic Functions

Establishment and Surveillance of Policies and Procedures

Policy development

Maintenance of procedure manual

User feedback analysis

Performance analysis

Interlibrary cooperation

Development and Maintenance of Reference Sources

Evaluation and Selection of hard-copy reference materials

Evaluation and Seclection of machine-readable reference materials

Identification of Relevant Outsied Reference Sources

Printed material sources

Bibliographic Sources

Data-Base Sources

Organizational and People Sources

Establishment of Procedures for utilization of outside sources

Search and Retrieval

Initial screen and/or referral

Question negotiation and analysis

Conversion of question to appropriate terminology

Formulation of search strategy

Conduct of search

Evaluation of search

Maintenance of library and user profiles

Preparation of Bibliographies

Definition of scope and type of bibliographic

Screening of relevant items

Preparation of bibliographic entry including abstract and annotation as required

Preparation of final copy

Duplication and dissemination

Requests for Photoduplication

Screening
Duplication
Distribution of photo copies
Accounting Control

Establishment and Maintenance of Special Materials

Agency archival files
Records of local search results
Clipping and pamphlet files
Personnel skills inventories

Materials Handling

Maintenance of reference collection
Physical preparation and filing of special materials

Cataloging

To improve library service to employees through its cataloging operation, revision of existent title and classification book catalogs is important.

It will be necessary to check the shelves against the classification book catalog to discover duplicates that have been assigned to more than one class.

A shelf list card catalog should be established as this is the most important record in the library. The shelf list:

1. provides an overview of the cataloged or indexed collection
2. is the subject bibliography of library holdings
3. may be used for book selection by individuals in various departments for the purchase of new books to be added to the collection
4. is the inventory of library holdings

The function of is to keep employees informed of activities, product related injuries, various aspects of product related information concerning products themselves, safety standards, consumer and accident prevention information and product liabilities involved as reported in the press.

An area not sufficiently covered in press clippings received is product injury. I suggest that certain employees in each field area office scan area newspapers for product related injury news reports. These could be clipped or xeroxed and sent to us for inclusion in

Purpose & Present Procedures

To access, from outside sources, materials which are not owned by This material includes monographs, journal articles, standards, technical reports and legislative documents.

Generally, this information may be obtained from the 3 major libraries in this area: NLM, NAL and LC. However, I regularly find it necessary to try to locate materials from additional sources.

In order to facilitate these searches, I have had to become familiar with the collections of area libraries. I have attempted to obtain journal holding lists, when available. Aside from journal holdings, I have tried to ascertain the scope of area collections.

I have forwarded our journal holdings list to other librarians.

QUICK RECOVERY OF MATERIAL IS OF UTMOST IMPORTANCE:

has recently initiated a program with NLM: ILL requests are being transmitted to NLM via teletype. This has considerably cut down delivery time.

In addition, ahs recently assigned a staff member to NLM. Rush orders may now be made over the telephone and materials may be hand carried to

Although, citation verification is troublesome and time consuming, it is a necessary part of the interlibrary loan operation. This procedure saves the lending library from making false searches. A library receiving several incorrect citations can easily become an enemy of . At this time, we are fairly well equipped to make these reference checks (Index Medicus, Science Citation Index, etc.). However, we have had considerable difficulty in identifying citations from the Chemcon data base. Therefore, we are planning to obtain Chem. Abstracts.

On several occasions, staff members at have been lax in returning materials to us. Overdue materials can only make the lending library think twice about letting borrow again. Therefore, this irresponsible behavior must end.

I intend to devise a form which will be attached to ILL materials. It will ask users to make careful note of the due date and warn them of the possible consequences.

OBJECTIVES:

1. To creat greater rapport with area libraries
    (a) Visiting them
    (b) Having them visit us
    (c) Exchanging holdings lists

(d) Respecting their rules and forcing our users to return materials on time

2. Increasing the efficiency of our operation
   (a) Becoming a member library in the Johns Hopkins University Applied Physics Laboratory program. This would provide us with the journal holdings lists of over 50 member libraries in the Washington-Baltimore area.
   (b) Increasing familiarity with collections in the area
   (c) Asking users with many requests to verify them. I will be glad to teach them how to use our facilities in this area.

WRITING JOB DESCRIPTIONS

STEP 1 - Get the facts about the position (job analysis).

STEP 2 - Determine the major areas of the work.

STEP 3 - Determine the MAJOR DUTIES (OUTPUTS)

STEP 4 - Outline the major duties

STEP 5 - Determine the major responsibilities

STEP 6 - Outline the major responsibilities

STEP 7 - Add percentages to the major duties

STEP 8 - Write an overall statement of the purpose of the position

STEP 9 - Fill in each major heading with pertinent detail

STEP 10 - Describe the controls over the position
- -Supervision
- -Policy
- -Procedure

CONTENT ORGANIZATION

1. Purpose Of The Position
2. Position Scope And Responsibilities
3. Position Authority And Controls Over Work Done
4. Other Significant Facts:
    - -Unusual Working Conditions
    - -Physical Efforts
    - -Special Abilities
    - -Special Skills
5. * Criteria And Measures Of Performance

*Optional Item

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JOB DESCRIPTION CHECKLIST

CRITERIA	YES	NO
1. Is a brief introductory statement given?		
2. Is each major function described in a separate paragraph? Organized logically?		
3. Are percentages shown with duties?		
4. Are all significant facts included? Specifically tell WHAT and HOW?		
5. Are examples used for clarification?		
6. Are descriptions accurate?		
7. Are responsibilities included? Accurate?		
8. Avoid using specialized terms/jargon?		
9. Avoid using vague terms (handle,check,assist)		
10. Useful as introductory description?		

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EXCERPTS FROM AN
"ADEQUATE" POSITION DESCRIPTION (LIBRARIAN POSITION)

I. NATURE AND PURPOSE OF WORK

A. Function and Background. I am in charge of the Library of the The principal function of this Library is to serve as a source of reference for the entire plant. The major subject fields covered in the material, either on hand in the Library or procured (by purchase or inter-library loan), are mathematics, physics, chemistry, electronics and mechanics, electrical and mechanical engineering, metallurgy, materials technology, and general industrial management. The total number of volumes on hand is approximately 35,000, consisting of 2,800 textbooks and monographs, 1,300 bound periodicals, 10,000 classified Government publications, 350 technical periodicals, and 20,000 technical research reports. The monthly accession rate is approximately 450 items, with an average monthly circulation of approximately 3,000 items. The Library has a $3,800 annual budget for books, periodicals and supplies. The classification systems used are as follows:

1. Library of Congress classification for books and periodicals.
2. Technical research reports and military instruction books by source code number.
3. Manufacturer's trade literature and similar items, alphabetically by subject.

Principal patrons of the Library consist of physicists, mathematicians, chemists, engineers, and production specialists, plus key administrative officials such as personnel and supply specialists and military officers. Regular patrons: approximately 500 persons. There is no active Library Committee as such.

B. Major Duties

1. Reference Work=40%. I receive reference inquiries (either orally or by memo) from the Commanding Officer, Executive Officer, key officials and employees of the plant. Typical reference questions presented to me are as follows:

> "I am writing a standard on blackening of steel in stainless steel. Please find for me all available references for current methods used."
>
> "We have a problem in connection with viscous damping of a pendulum. Do you have the specific gravity of Dow Corning fluid 200 and some equations for motion in magnetic fields?"

"Can you give me the names of organizations and military agencies doing work on the surface characteristics of germanium?

"Please send me all the information you have on magnetically enslaved gyros."

------------------- (Duties 2 through 6 go here) D.T.

III. SUPERVISION AND GUIDANCE RECEIVED

My immediate supervisor is the Head of the Administration Department. At present, this is the Administrative Officer,

My supervisor does not give me day-to-day instructions. At times, he will make special requests for expediting reference searches or interlibrary contacts. Most of my work is generated by inquiries on the part of the patrons served.

Typical questions or problems which I refer to my supervisor are as follows: (1) "The Research Dept. insists on our purchasing this series of monographs. We can obtain them on a 3-month loan to be delivered in six weeks. Should we purchase or loan?" (2) "Can the library use storeroom 342-A for little-used materials?"

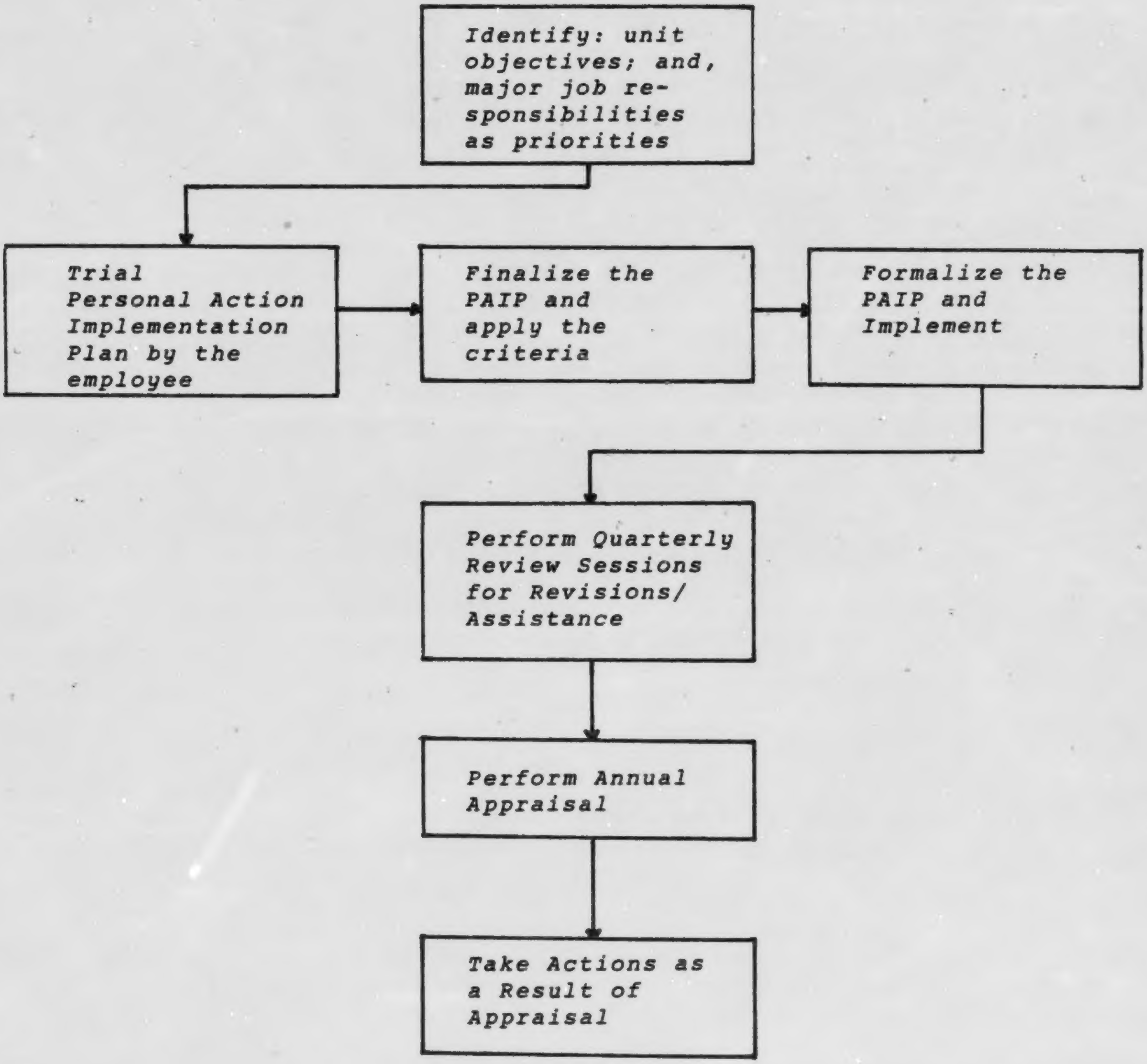
The major following guides are used:

1. For cataloging and classifying: Library of Congress classification, Industrial arts Index and Engineering Index, Department of Commerce Classifications, Department of Defense Preliminary List of Technical Subject Headings.

2. For literature selection: Cumulative Book Index, book review sections of new magazines, BuOrd Technical Library Weekly Bulletin, NRL Library Bulletin, NACA Research Bulletin and various university bulletins.

3. In addition, we maintain a full set of Station Orders and certain professional library journals.

- Overview of the PRAS process:


Identify: unit objectives; and, major job responsibilities as priorities
Trial Personal Action Implementation Plan by the employee
Finalize the PAIP and apply the criteria
Formalize the PAIP and Implement
Perform Quarterly Review Sessions for Revisions/ Assistance
Perform Annual Appraisal
Take Actions as a Result of Appraisal

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- Determining a PERSONAL ACTION AND IMPLEMENTATION PLAN (PAIP)

A. Discussion between employee and supervisor

1. Supervisor has copy of unit objectives and job description
2. Employee has copy of job description and unit objectives
3. Tegether, identify employee job responsibilities
4. Together, identify the content of each area of responsibility
5. Prioritize the importance of each duty

B. Employee develops a trial PAIP

1. Identify major job duties in priority order
2. Write each major duty in the form of an objective which are:
    a. challenging
    b. realistic
    c. managable
3. Assign a priority value to each MAJOR RESULTS AREA (objectives) using 100 as a standard base.
4. Anticipate and specify assistance needed to carry out MAJOR RESULTS AREAS (MRA'S)

C. Finalize and formalize the PAIP

1. Employee and supervisor meet to review PAIP
2. Get agreement on what is going to be done and how each MRA will be implemented
3. Review each MRA to meet SPIRO criteria
4. Make necessary revisions by mutual agreement
5. Draft final copy - MRA's and valuations
6. Employee and supervisor each keep a copy of the final PAIP signed and dated by both on each copy
7. Supervisor spells out the quarterly review process and that MRA's are the criteria for evaluation
8. Set the date for the first review session

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PERSONAL ACTION & IMPLEMENTATION PLAN - EMPLOYEE PLANNING WORKSHEET

List MAJOR JOB DUTIES in priority order	PRIORITY	Write each MAJOR JOB DUTY as an objective for this year	Rewrite each objective as a MAJOR RESULT and the INDICATORS of those MAJOR RESULTS AREAS	VALUE	Plan for the assistance you will need to achieve the results you want

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- Quarterly REVIEW SESSIONS of the PAIP

  A. Employee and supervisor review progress on each objective in the PAIP

    1. Discuss progress on each MRA
    2. Incorporate and add new responsibilities as MRA's
    3. Delete responsibilities that are no longer essential
    4. Revise objectives as necessary in terms of current realities and initial changes
    5. Change priority-values as necessary
    6. Specify and plan implementation of additional assistance
    7. Set the date of the next review session

- By the end of each review session, both of you will have:

  - Given the PAIP flexibility based on realities of the existing situation
  - Informally, worked out any problems
  - Clarified new directions
  - Committed to more realistic objectives
  - Expressed (informally) level of achievement
  - Invited employee self-appraisal

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- The Annual Appraisal of Employee Performance

A. During the third quarterly review session, notify employee of date of appraisal and how to prepare for it.

1. Allow at least two hours for the session
2. Explain how to prepare for the session

B. To prepare for the session, the supervisor

1. Reviews the PAIP
2. Identifies points to raise during the session:
    a. more information
    b. clarifications
    c. views of results
    d. training possibilities
3. Have a general idea of your rating of the employee's performance:
    a. exceeded objectives - EXCEPTIONAL
    b. met objectives - SATISFACTORY
    c. did not meed objectives - UNSATISFACTORY

C. To prepare for the session, the employee

1. Reviews the PAIP
2. Completes the self-appraisal section of the PAIP if desired
3. Brings rating form to the appraisal interview

D. Conduct the appraisal interview

1. Supervisor and employee discuss each MRA
2. Supervisor enters numerical performance value for each MRA

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3. Supervisor totals values and gives rating
4. Supervisor adds comments and signs
5. Employee adds comments and signs
6. Copy to employee and supervisor
7. Original to reviewing official

E. Fill in future action plan

1. Developmental actions suggested
2. Corrective actions suggested
3. Employee comments
4. Both sign and keep copies
5. Original to reviewing official

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DEVELOPMENTAL TOOLS FOR MANAGERS

Career Development Methods:

1. Daily coaching
2. Special Assignments
3. Acting As Stand-In or Understudy
4. Job Rotation
5. Job Enrichment and Expansion
6. Delegation (as an ongoing process)

Personal Development Areas:

1. Problem Solving Skills
2. Planning Skills
3. Speaking Skills
4. Writing Skills
5. Decision Making Skills
6. Personal Planning

The most readily available resource to the manager is the process of delegation. It works best when done as a regular activity as opposed to implementation by decree. The process begins, as always, with analysis.

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DELEGATION ACTION GUIDELINES

1. Make sure that the person can do the job to be assigned. Measure your selection of person and task critically. Be prepared for some extra coaching as well.

2. Make sure that you retain accountability for the outcome. Your subordinates must do the job but you are the one who is responsible for the results.

3. Emphasize the developmental aspects of the delegated tasks.

4. Be sure to write and communicate a specific set of objectives for the delegated tasks. Focus on outputs without dwelling on all of the "how to's".

5. Be sure that the delegate has enough authority to get the job done. Make sure the delegate knows how far he/she can go without checking with you. Give specific examples of limits.

6. Follow the rules for setting objectives. Be sure to set performance standards and measures of progress (indicators). Follow-up at regualar, predictable intervals. Record all progress.

7. Use positive reinforcement and provide recognition of achievement. Look for all the ways in which the delegate is making the things happen - - making things work out. Don't overlook the simple stuff - what was elementary to you may be a new realization to your delegate. Encourage decision-making, independence, analysis, planning, and the recognition of needs you may have already known about.

8. Act like a consultant to your delegate.

9. Don't hesitate to take action if/when things go wrong. Do it through involvement and consultation with the delegate. Remember your accountability and try to emphasize the learning value of the experience.

10. Delegate tasks and responsibilities to all of your subordinates. Delegation is not restricted to the gifted few. It is, after all, a developmental tool for everyone.

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DELEGATION ANALYSIS CHECKLIST

1. Do you regularly take work home to complete?
2. Do you work longer hours than your subordinates?
3. Are you spending your time doing things for others that they could be doing themselves?
4. When you return from an absence from your office, do you find that you're overloaded with catch-up work?
5. Are you still handling the same problems and activities that you had before your last promotion?
6. Do you find that you are constantly interrupted with questions and requests relative to ongoing projects?
7. Are you spending time handling details that others could do?
8. Do you try to keep a hand in everything that is going on?
9. Do you find that you regularly rush to meet deadlines?
10. Do you lose track of priorities?
11. Do your subordinates complain about routine duties?
12. Are you intolerant of others' mistakes?
13. Do you have a developmental plan for each subordinate?
14. Do you lack confidence in your subordinates?
15. Do you think of getting help from your peers?

TIMEFLEX Delegation Worksheet and Plan

Section 1 - Tasks That I Can Delegate

What are you now doing that someone else can do as well?	To whom can you delegate? List all possible delegates.
TASKS:	PEOPLE:

Section 2 - Tasks That Can Be Delegated To Me

TASKS:	FROM:

Section 3 - Who Must You Develop To Handle More Of Your Work

PERSON:	NEED:

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COUNSELING APPROACHES

1. Developmental Counseling (Coaching)

- Determine personal styles.
- Plan overall approach to enhance receptivity.
- Open in the other person's style.
- State the purpose of the session.
- Encourage and invite self-assessment.
- Mutually develop an action plan.
- Set a follow-up date.
- Follow-up.

2. Corrective Counseling

- Determine personal styles.
- Plan overall approach to enhance receptivity.
- Open in the other person's style.
- Avoid value loading.
- State your purpose.
- Describe the situation.
- GET FEEDBACK - LISTEN and express understanding.
- Focus on geeting agreement on the problem:
    - Perceptions of the shoulds.
    - Perceptions of the actions.
    - Description of differences.
- LET SUBORDINATE DESCRIBE CORRECTION ACTION PLAN.
- Let the subordinate sum-up the session and actions.
- Get agreement on CONTROLS and FEEDBACK.
- Set a follow-up date.
- Follow-up.

Subordinate	Shoulds	Actions

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- How many employment interviews have you done in the last two years?

- Describe what you currently do/would do before the interivew starts?

- How do you/would you start the interview?

- What questions do you/would you ask?

- List what you feel is unlawful to ask a candidate.

- How do you/would you evaluate what you hear?

- What do you/would you do in matching the person to the job?

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- How do you/would you assess the candidate's personality?

- Recall your interview(s) for the job you currently hold. List below what you recall as the strengths of the interview, and suggestions for improvement.

(+)	(-)

- If there are one or two specific skills you would like to improve as an interviewer, what are they?

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SELECTION INTERVIEWING

Remember these 2 guidelines:

1. BE FLEXIBLE.
2. BE WELL PLANNED.

Step 1 - Initial Preparation For Interviewing

A. Decide on your interview sequence
- How many interviews will you conduct
    - The Preliminary Screening Interview
    - The In-Depth Interview(s)
    - The Third Party Interview
    - The Offer Interview

B. Familiarize yourself with the job
- Responsibilities
- Duties
- Functions
- Qualifications
- Key Results Areas
- Remember the 80/20 Rule

C. Get applicants
- Personnel procedures
- Classified advertising
- Third party search
- Other

D. Screen initial applicants on paper
- Review applicant data
- Select those who meet minimum criteria
- Instruct personnel carefully on general criteria

E. Call qualified candidates for PRELIMINARY INTERVIEW

Step 2 - Set Up Systematically For All Interviews

A. Specific preparations

1. Prepare information on the JOB itself
    - IDEAL CANDIDATE SPECIFICATION FORM
    - Orgnaizational climate and style
    - Policies
    - Potential opportunities
    - Potential challenges and difficulties
2. Prepare information about the candidate
    - Review resume or application for facts
    - Note positive data
    - Note negative data

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IDEAL CANDIDATE SPECIFICATIONS SHEET

Position: ______________________________

Reports To: ____________________ Salary Range: ______________

- List the MAJOR RESPONSIBILITIES, DUTIES, FUNCTIONS in general terms. (What does this person do?)

- List the KNOWLEDGE and EXPERIENCE factors needed to do the job. (What knowledge and experience is absolutely necessary to do the job?)

- List the MOTIVATION factors needed to enjoy the job. (What should the person like to do in order to be motivated in this job?)

- List the PERSONALITY factors needed on the job. (What personal qualities are needed to be effective?)

- List the INTERPERSONAL SKILLS needed on the job. (What are the self-expression, face-to-face, and written skills needed?)

- List the INTELLECTUAL factors needed on the job (Use back of form). (What levels of intelligence, complexity, and thinking are necessary?)

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3. Anticipate physical factors
   - Insure privacy
   - Locate a quiet but accessible office
   - Eliminate possible interruptions
   - Choose a neutral office
   - Insure comfort (ventilation, chairs, ashtrays, etc.)
   - Dress appropriately
   - Alert receptionists to anticipate applicants by name! Establish procedure before applicants arrive.

4. Avoid these classic interviewer traps
   - Telegraphing answers
   - Dominating
   - Talking too much
   - Intimidating
   - Not translating facts to on-the-job actions
   - Jumping to conclusions
   - Neutrality
   - Sarcasm
   - Rejections
   - Disbelief

5. Decide on the areas you will cover
   - Early family life and history
   - High School
   - College
   - Other education
   - Training and special skills
   - Military or other service
   - Work history (part and full-time)
   - Attitudes toward jobs and employers
   - Understanding of the job applied for
   - Aspirations and future plans
   - Personal goals
   - Strengths
   - Limitations
   - Special interests
   - Home and personal situation

6. Remember that you will be assessing

   * INTELLECTUAL FACTORS

   * PERSONALITY FACTORS

   * KNOWLEDGE AND EXPERIENCE FACTORS

   * MOTIVATIONAL FACTORS

   * INTERPERSONAL FACTORS

   As all relate to the job to be filled!

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Step 3 - Conduct The Preliminary Screening Interviews

A. Objectives

1. About 45 - 60 minutes in length.
2. Do about 30-40% of the talking.
3. Explore general areas of the last 5 years.
   - Focus on background, experiences, skills.
   - Focus on personal traits, characteristics, style.

B. General Interview Approach

- INTRODUCTION
  - Small talk to put person at ease.
  - Create a low threat climate.
  - Outline the interview: Intial Summary and Time Allowed.
  - Ask a LEAD FOCUSING QUESTION to get into the interview.
- FOLLOW YOUR PLAN OF WHAT TO COVER
  - Open each area of inquiry with a broad open-end question.
  - Start taking notes and don't interrupt responses.
  - Record facts on INTERVIEW TRACKING GUIDE.
  - Ask SELF ASSESSMENT QUESTIONS and record responses.
  - Record on INTERVIEW TRACKING GUIDE.
  - Cover each area planned the same way.
  - Conclude each area with direct questions.
  - Transition to the next area you plan to cover.
- INVITE APPLICANT QUESTIONS
  - Answer questions based on time available.
  - Provide literature on organization.
- END THE INTERVIEW
  - Keep clock visible to applicant.
  - End on time.
  - End on a positive note.
  - DESCRIBE next steps and dates of notification.
  - Make physical move to end contact.
- COMPLETE THE HYPOTHESIS SECTION OF TRACKING GUIDE
  - Do this immediately.
- TRANSFER DATA TO THE CANDIDATE'S BALANCE SHEET
- COMPARE BALANCE SHEETS TO IDEAL CANDIDATE SPECIFICATIONS AND TO EACH OTHER
  - Invite best qualified back for next phase.
  - Call those screened out indicating that others had met qualifications to a greater degree. End on a positive note.

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Step 4 - The In-Depth Interviews

A. About 2 to 4 hours in length.
B. Consider having more than one.
C. Cover the person's entire history and all areas of your plan.
D. Follow B in Step 3 as your method.

Step 5 - Third Party Interviews

A. Brief your 3rd party interviewer on the job to be filled.
B. Give 3rd party Ideal Candidate Specifications.
C. Provide applicants' data (resume,applications,etc)
D. Don't give 3rd party your ratings of candidates.
E. Give 3rd party a list of areas to cover.
F. Get written feedback from 3rd party on a Balance Sheet Form.
G. Remember to balance 3rd party perceptions in terms of style interactions.

Step 6 - Using All Data-Decide On Top 3 Candidates

A. Check out all information, verify data and contact references where permitted by applicant.

Step 7 - Make The Offer

A. Do it face-to-face.
B. Handle any differences.
C. Provide 24 hours, if sought, to think it over.

Step 8 - Be Sure Of The Acceptance

A. Confirm date of resignation from current position.
B. Anticipate counteroffers.
C. Confirm start date in writing.

Step 9 - Notify Other Candidates Of Selection

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financial management

FINANCIAL MANAGEMENT
March 12, 15, 16, 1979

BACKGROUND

CLASS PROFILE

Number of applicants: 24
Number of participants: 22
Years of managerial experience:
- 0-5 years - 11 participants
- 5-10 years - 5 participants
- 11+ years - 3 participants
- no response - 3 participants

Size of library:
- 1-5 employees - 7 participants
- 6-10 employees - 7 participants
- 11-20 employees - 1 participants
- 21+ employees - 4 participants
- no response - 3 participants

PROBLEM CENSUS (Identified by participants)

How to:

- control/reduce budgets without sacrificing quality
- identify specifics on what a budget should contain
- present budget to management
- relate budget justification to agency goals
- deal with paperwork
- develop and implement long and short range plans
- deal with stingy management-bargaining trade offs
- convince top management to spend money on automation
- communicate library financial needs to non-library oriented budget officers
- market for libraries
- utilize a financial management system
- monitor the budget
- talk to management using their language
- develop techniques for determining costs
- use zero-base budgeting

INSTRUCTOR

James Cleaveland
Management Analysis Center, Inc.
Georgetown Plaza
2828 Penn. Ave. N.W. Suite 301
Washington, D.C. 20007
Phone: 202/342-6500

RESOURCE PERSONS

Yvonne Hill - Department of Transportation
Madeleine Mullin - State Services Organization
Ruth Smith - Institute of Defense Analyses

FINANCIAL MANAGEMENT

COURSE OUTLINE

MAJOR TOPICS COVERED IN THE THREE DAY PROGRAM

- ELEMENTS OF PROGRAM AND FINANCIAL MANAGEMENT
- SETTING GOALS AND OBJECTIVES
- TYPES OF BUDGETING
- BUDGETING AND MANAGEMENT CONTROL

Day 1

The workshop began with participants identifying major problems within their libraries and within their parent organizations (page 73).

Participants were grouped by size and type of library to make small group work more relevant to their needs. The instructor then described the financial management process emphasizing its logical nature (page 83). Successful financial management is a matter of positioning the library and its services in the organization scheme and marketing perceived and unperceived needs to users and customers. Library services should be a monopoly; they should be faster and cheaper than the competition. There are three basic steps in the development of strategy: 1) identifying what market you are in, 2) identifying its characteristics, 3) understanding the strengths of the competition.

Exhibits were presented from a participant library which demonstrated useful planning and marketing devices: 1) a five year report of the parent organization, used to identify organizational goals, 2) a year end report describing the library's activities, used as documentation for budget requests, 3) a report to all members of the staff describing the libraries services and explaining policies and procedures, used to market the library throughout the organization and 4) an organization chart to place the library within the framework of the organization.

Using this library as a case study the instructor then focused on the identification of "customers" and how to get to them through the use of memoranda, reports, and questionnaires. The major competitors for library services were then analyzed to show strengths and weaknesses. Participants also identifed related services within the parent organization that could be incorporated by the library.

Using the article, "Strategies for Introducing Marketing Into Non-profit Organization" Philip Kotler (see bibliography page 82), each group discussed one of their members' libraries. Notes from these sessions were distributed to the group. There were several areas of concern that surfaced in all the groups: Identification of the library's competition, customers and strengths, communications, relations within the organization, and professional barriers.

Participants developed a list of components which should be included in a survey of the people in their parent organizations (page 84).

Day 2

The day focused on various types of budgeting (program, formula, line item, and zero-base). One of the participants presented a cost-benefit analysis for adoption of the OCLC stared cataloging system (pages 85-88). As a homework assignment participants were asked to formulate a zero-base budget for their library.

Day 3

The class divided into small groups to formulate a fully developed zero-base budget based on their homework assignment. This small group work was then shared with the rest of the participants.

The discussion then turned to the operation of services, measurements of performance and the establishment and monitoring of performance targets. The instructor and participants discussed ways of presenting financial plans to supervisory management.

Financial measures, plans, and reports to aid the organization's operation were discussed. These are used as comparison devices, to show the price tag of a plan, to determine the availability of funds and as warning devices (pages 89-91).

Types of performance, program, and statistical measures were demonstrated. Four catagories of measures were identified: 1) ultimate benefits, useful during strategy planning; 2) performance measures, a supervisory device to look at the quality and quanity of services; 3) workload measures output, statistics on volume and frequency of service, and number of accomplishments; 4) resource measures, good for public relations which shows collection size and categories, personnel, and budget. Participants discussed these categories, listed many measures for their libraries, and identified those which could be used as performance targets. The time left was used to discuss establishing and monitoring performance targets.

FINANCIAL MANAGEMENT

EVALUATION SUMMARY

In order to insure that our programs continue to meet the needs of participants, would you please take the time to evaluate the program you have just completed.

Please rate each of the items below according to the categories indicated by placing a check (✓) above the appropriate number adding comments where necessary or appropriate.

1. In general the objective of the workshop was to introduce participants to theories and techniques of financial management. To what extent was this objective accomplished for you by the workshop program?

							AVERAGE RESPONSE
Not at all			2	10	6	Very well	4.22
	1	2	3	4	5		

2. If you feel the workshop objective was successfully achieved for you, indicate the one factor that contributed most to its success. Likewise, if you feel it was not successfully achieved for you, indicate the one factor that contributed most to its failure.

See Page 78

3. Your personal expectations for the course:

Not achieved		2	3	8	5	Exceeded	3.94
	1	2	3	4	5		

4. Design of the course:

Poor		1	3	11	3	Superior	3.88
	1	2	3	4	5		

5. Complexity of the course material:

Too simple	1	2	14	1		Too complicated	2.83
	1	2	3	4	5		

6. Course content:

Too theoretical		3	13	2		Too practical	2.94
	1	2	3	4	5		

7. Information obtained from other participants:

No new helpful information	1	1	3	4	9	A great deal of new helpful info.	4.05
	1	2	3	4	5		

8. Rate the course instructor in terms of content and delivery:

James Cleaveland								AVERAGE RESPONSE
Content:	Poor		1	1	8	8	Excellent	4.27
		1	2	3	4	5		
Delivery:	Poor			1	3	14	Excellent	4.72
		1	2	3	4	5		

Comments: See Page 78

9. List the most valuable and least valuable aspects of the course for you:

MOST VALUABLE	LEAST VALUABLE
See Pages 78	79

10. What changes would you recommend? See Page 79

11. Do you have any suggestions for additional courses which the Council of Governments might offer to meet your special needs or those of your library?

See Page 79

12. Please add any additional comments, criticisms, and suggestions you may have concerning course content, format, instructor, and your needs.

See Page 79

FINANCIAL MANAGEMENT

EVALUATION SUMMARY

(con't)

Attachment for question 2 - Factors contributing to overall success or failure

- Emphasized the need for short-term and long-term planning
- Marketing and business concepts (2)
- Personality of instructor and organization of his presentation (4)
- Opportunity to discuss common problems with colleagues (2)
- Group organization and participant feedback
- Focus on monitoring expenses without extensive paperwork
- The great diversity of libraries represented
- The framework and approach of "selling ourselves"
- Practical application
- Interchange between instructor and participants
- Too much nonessential "shoptalk" by participants allowed
- Too elementary

Attachment for question 8 - Evaluation of Instructor

- It would have been helpfull if he had known more about information services
- Excellent except for sexist comments (2)
- Articulate, informed and well-organized
- Male-female ratio should have been more equal to prevent sexist overtones
- Instructor familiarized himself with libraries before the course; he kept checking for feedback
- Receptive to individual and group needs
- Could have tightened the first day's presentation
- Should have given more emphasis to public sector management

Attachment for question 9

Most valuable aspects of course:

- Relevant exercises and examples
- Zero-based budgeting
- Presentation of the relationship between marketing and budgeting
- Strategic planning and systems analysis (3)
- IRS materials on justifying OCLC
- Group interaction
- Actual budget work (2)
- Design of user questionnaire and cost-benefit analysis
- New contacts in library world; new ideas and broader perspective

Least valuable aspects of course:

- Agency documents that we were asked to bring were not specifically used
- Marketing surveys, PR, etc.

- Alternative budget systems not really applicable to library settings
- Use questionnaire - took too much time
- Budgeting ideas
- Simplistic "workshop projects"

Attachment for question 10 - Recommended changes

- Use the documents we were asked to bring
- Limit enrollment to one person per organization per course to insure a variety of experiences
- Spend less time on individual problems
- Have the course taught by a qualified librarian
- Offer a model of overall library operations as a handout
- Get into financial planning on the second day rather than the third
- Too much diversity - pre-screen to have more similar libraries
- Change the title to "Program Management"
- More concentration on budgets, development and monitoring
- More practical applications of financial management theory
- Develop two sections for financial management: basic and advanced

Attachment for question 11 - Other training needs

- Practical courses for initiating automated services
- More sophisticated financial material
- A follow-up to this course using one's individual library as a case study
- Data processing applications in libraries
- Collection management and maintenance
- Space planning

Attachment for question 12 - Additional comments

- This course should be repeated.
- I thought the course was very worthwhile.
- I would like to see librarians teaching in their specialties.
- Unusual opportunity to benefit from broadbased experience applied to library management
- One of the most pertinent workshops I've attended in years.
- Instructor's handwriting hard to read.
- Try to eliminate so much time spent on participants' elucidating their life histories.

FINANCIAL MANAGEMENT

EVALUATION BY INSTRUCTOR

As part of our evaluation of the Metropolitan Washington Library Council's management training program for special librarians, we are asking you to complete this questionnaire. Your reactions will help us in assessing the effectiveness of this workshop and in structuring future courses. Thank you for your cooperation.

NAME: J.R. Cleaveland

1. Were you generally satisfied with the outcome of this course?

Yes, but was not able to afford to structure enough library examples

2. Did you feel that your pre-course orientation to the special library environment adequately prepared you to address this group? What was the most valuable: consultation with advisory committees; site visits; background readings, etc.? What would you change or add?

1-site visits, 2- Background readings.

3. Please comment on the responsiveness of the participants (amount of discussion, group interaction, interest, enthusiasm, etc.).

Good participation, sleepy during information lectures

4. What differences, if any, did you note between this group and others you have addressed with similar presentations?

Not much except for specialized field of knowledge.

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5. Were you adequately informed as to what was expected of you?

Did not expect to prepare materials but had hoped to have an intern be able to follow up on interviews and prepare material.

6. Do you have any comments or suggestions which might help us in planning and implementing future workshops?

Funding for preparation of case studies in libraries.

7. Would you be willing to participate in similar workshops for special librarians in other parts of the country?

Need to insure coverage of billing rates. Subject to that, yes.

FINANCIAL MANAGEMENT

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General

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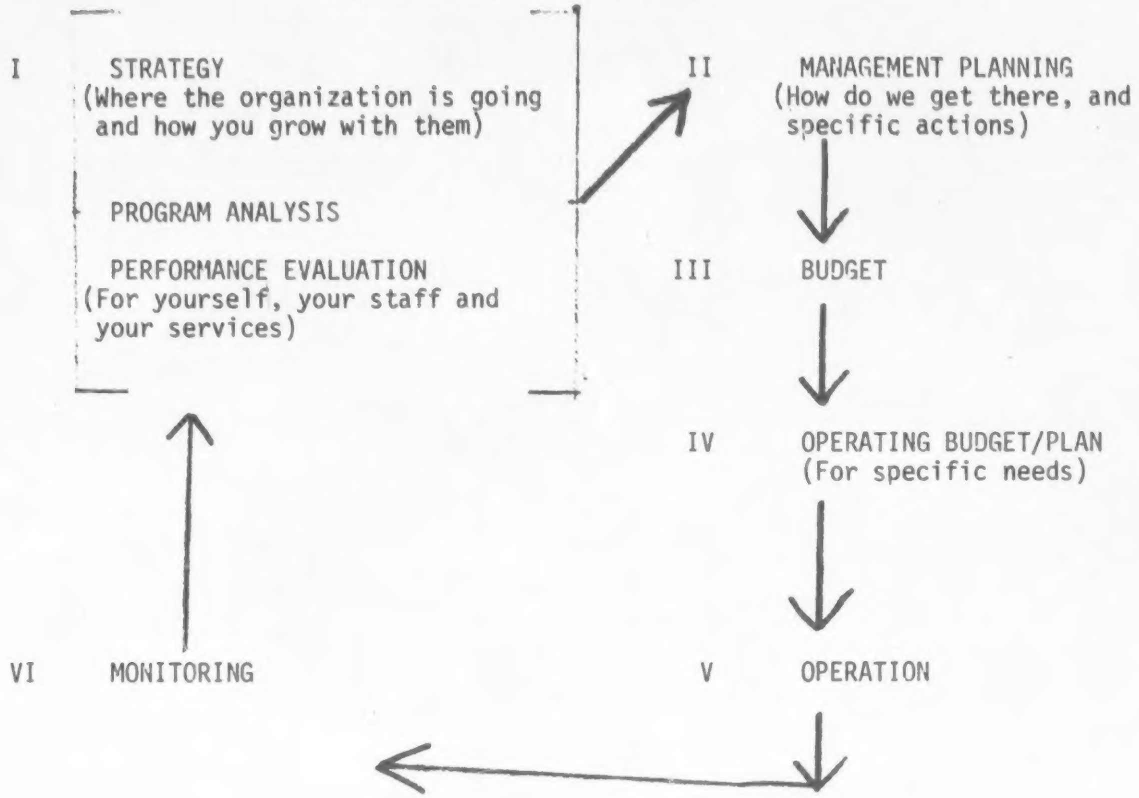
FINANCIAL MANAGEMENT PROCESS


I STRATEGY
(Where the organization is going and how you grow with them)
PROGRAM ANALYSIS
PERFORMANCE EVALUATION
(For yourself, your staff and your services)
II MANAGEMENT PLANNING
(How do we get there, and specific actions)
III BUDGET
IV OPERATING BUDGET/PLAN
(For specific needs)
V OPERATION
VI MONITORING

SURVEY FRAMEWORK FOR LIBRARY
USAGE QUESTIONNAIRE

Users

- Who are they (rank, area of expertise, etc.)
- How/when do they use the Library
- What do they use
- Degree of satisfaction
- Knowledge of the collection
- Their location
- Telephone usage
- Frequency of use

Non-users

- Who are they
- Why don't they use the library
- What other sources do they use
- When do they use other sources
- What is there degree of satisfaction with these other sources

What type of information is needed

- Reference
- Research
- Informational
- Data base searches

OPTION 1

FY '79 - Equipment and Training

Cost Element	Est.No. of Units per yr.	Unit Cost	Total Cost
OCLC Display Terminal 105	1	$4,144.00	$4,144.00
Access to OCLC System via Lease Line Modem Installation (1 time charge)	1	151.50	151.60
Telecommunications[1]	2	168.00/mo.	336.00
Processing of Catalog Profile Pack Definition Table: Standard Catalog Profile and Catalog Card Format	1	32.48/profile	32.48
Training Cataloging	4prof.= 8 days	100.00/day	800.00
Searching (ILL and Serials)	2 tech.- in-house	200.00	200.00
			$5,664.08

---

[1] Charge begins with installation of Modem.

OPTION 1

FY '80 - Reclassification Project, New Cataloging and ILL[2]

Cost Element	Est. No. of Units per yr.	Unit Cost	Total Cost
Reclassification Project (Titles)	6,000	.67	$4,020.00
New Cataloging (Titles)	350	1.35	472.50
Cards (10/title)	63,500	.04/card	2,540.00
Accessions List (Quarterly) 140 new items or less/list	4	13.44	53.76
Inter-Library Loan (ILL)	1,440	1.03/request	1,483.20
Serials Check-In (Per Issue Checked-In)	2,000	.038/issue	76.00
Telecommunications	12	168.00/mo.	2,016.00
Terminal Maintenance Service (Unlimited Calls)	12	36.96/mo.	443.52
			$11,104.98

---

[2] Cost estimates made using FY '79 unit cost figures from FEDLINK/OCLC Services. If a 10% inflation factor is used the FY '80 total is $12,215.47.

Option 2

FY '80 - Equipment, Training, Reclassification Project, New Cataloging, and ILL[1]

Cost Element	Est. No. of Units per yr.	Unit Cost	Total Cost
OCLC Display Terminal 105	1	$4,144.00	$4,144.00
Access to OCLC System via Lease Line Modem Installation (1 time charge)	1	151.50	151.50
Telecommunications	10	168.00/mo.	1,680.00
Processing of Catalog Profile Pack Definition Table: Standard Catalog Profile and Catalog Card Format	1	32.48/profile	32.48
Training			
Cataloging	4 prof.= 8 days	100.00/day	800.00
Searching (ILL and Serials)	2 tech. - in-house	200.00	200.00
Reclassification Project (Titles)	4,000	.67	2,680.00
New Cataloging (Titles)	250	1.35	337.50
Cards (10/title)	42,500	.04/card	1,700.00

Option 2, Cont'd.

Cost Element	Est. No. of Units per yr.	Unit Cost	Total Cost
Accessions List (Quarterly) 140 new items or less/list	3	13.44	$ 40.32
Inter-library Loan (ILL)	960	1.03/request	988.80
Serials Check-In (Per Issue Checked-In)	1,500	.038/issue	57.00
Terminal Maintenance Service[2] (Unlimited Calls)	8	36.96/mo.	295.68
			$13,107.28

[1] Estimates made using FY '79 unit cost figures from FEDLINK/OCLC Services. If a 10% inflation factor is used the FY '80 total is $14,418.01.

[2] Charge begins three months after terminal is installed.

BUDGET REQUEST SUMMARY - FISCAL 1977

ACTIVITY: Library - Reference

OBJECT CLASS	ACTUAL 1975	ESTIMATED 1976	PROPOSED 1977	DIFFERENCE
Personal Compensation	$ 155,872	$ 164,196	$ 182,460	$ 18,264
Fringe Benefits	28,447	30,122	34,890	4,768
Travel	1,258	1,350	1,350	- -
Transport	454	600	660	60
Supplies-Dir. Purch.	2,656	2,800	3,210	410
Supplies-Stock	675	680	720	40
Equipment Lease	1,246	1,246	1,490	244
ADP Services	19,794	21,440	23,580	2,140
Equipment Purchase	284	- -	850	850
Services — Other Cost Centers	12,871	14,120	12,600	- 1,520
TOTAL:	$ 223,557	$ 236,554	$ 261,810	$ 25,256

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FINANCIAL PLAN - FISCAL 1977

ACTIVITY: Library - Reference

		MONTH					
OBJECT CLASS	BUDGET	OCT.	NOV.	DEC.	JAN.	MAY	JUNE
Personal Compensation	$182,460	$14,980	$14,980	$14,980	$15,220	$15,220	$15,220
Fringe Benefits	34,890	2,841	2,841	2,841	2,931	2,780	2,780
Travel	1,350	—	—	—	350	150	175
Transport	660	55	55	55	55	55	55
Supplies-Dir. Purch.	3,210	420	240	240	240	260	260
Supplies-Stock	720	60	60	60	60	60	60
Equipment Lease	1,490	120	120	120	124	124	124
ADP Services	23,580	2,800	1,770	1,770	1,770	1,900	1,900
Equipment Purchase	850	850	—	—	—	—	—
Services — Other Cost Centers	12,600	310	310	310	310	2,050	2,050
TOTAL:	$261,810	$22,436	$20,376	$20,376	$21,060	$22,599	$22,624

COST CENTER STATEMENT - MAY 1977

COST CENTER TITLE: Library - Reference

		ENCUMBERANCE				
		THIS MONTH		TO DATE		
OBJECT CLASS	BUDGET	ACTUAL	PLANNED	ACTUAL	PLANNED	BALANCE
Personal Compensation	$182,460	$14,936	$15,220	$120,115	$121,480	$ 62,345
Fringe Benefits	34,890	2,741	2,780	25,987	26,403	8,903
Travel	1,350	—	150	1,208	900	142
Transport	660	63	55	548	440	112
Supplies-Dir. Purch.	3,210	141	260	2,042	2,140	1,168
Supplies-Stock	720	48	60	521	480	199
Equipment-Lease	1,490	124	124	994	994	496
ADP Services	23,580	19,460	1,900	33,201	14,720	9,621 -
Equipment-Purchase	850	—	—	808	808	42
Services — Other Cost Centers	12,600	847	2,050	8,843	8,400	3,857
TOTAL:	$261,810	$38,360	$22,599	$194,267	$176,765	$ 67,643

planning for special library management

PLANNING FOR SPECIAL LIBRARY MANAGEMENT

April 9, 10, 11, 1979

BACKGROUND INFORMATION

CLASS PROFILE

Number of applicants: 60
Number of participants: 27
Years of managerial experience:
  0-5 years - 15 participants
  5-10 years - 9 participants
  11+ years - 4

Teams:
  4 members
  5 members
  2 members
  2 members

Size of library:
  1-5 employees - 10 participants
  6-10 employees - 6 participants
  11-20 employees - 1 participant
  21+ employees - 10 participants

PROBLEM CENSUS (Identified by participants)

How to:

- allocate resources
- pace the planning process
- find better ways of utilizing time & personal resources
- set goals
- mission plan
- use strategies to enlist support of top management
- design a 2-3 year plan
- develop new approaches to realizing goals
- implement a plan once it has been developed
- respond to change
- measure accountability
- incorporate new projects into existing plans
- place the library within a cost/revenue conscious organization
- allocate your time
- set objectives
- forecast staffing, resource, budgetary needs
- use documentation in planning
- plan for increased services

INSTRUCTOR

David Callahan
Communications Dynamics
2919 Cashel Lane
Vienna, Virginia
Phone 703/281-2900

RESOURCE PERSONS

Ellen Berman - TRW-Systems
Madeleine Mullen - State Services Organization
Frances Swim - National Oceanic and Atmospheric Administration

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PLANNING FOR SPECIAL LIBRARY MANAGEMENT

COURSE OUTLINE

MAJOR TOPICS COVERED IN THE THREE DAY PROGRAM

- STRUCTURE OF PLANNING
- TASK DESIGN
- INFORMATION DESIGN
- MANAGEMENT DESIGN
- IMPLEMENTATION DESIGN

Day 1

The instructor discussed the nature of planning--what happens if planning works. Possible outcomes include greater efficiency, meeting of information needs, achievement of goals, better trained staff, better services etc. Each participant was to develop a specific plan for his or her library, working through the planning process. The participants then identified what it was that they wanted to plan--the pros and cons of both the present and desired situations. They were encouraged to describe the future in specific terms and develop a how to methodology for reaching the desired situation. To participate in organizational planning you need to identify the dominant values of the parent organization and make your plans congruent with them, you also need to analyze both the internal and external environments, determining which parts impact on you.

The instructor then discussed long range goals emphasizing that they should be value oriented and few in number. Unlike objectives they should not be measurable or quantifiable.

The next step in planning is to develop assumptions about the future, for example production capability (online facilities for reference), market position (increased value of information, the library product), the environment (what is happening in state libraries, library schools).

Participants then practiced writing objectives. They were encouraged to think in terms of their project, identifying what the parent organizations wanted from the plan and what they wanted from the plan. These objectives were shared and critiqued by the group.

Day 2 and 3

These days were spent with the individual plans, all teams working on their projects using the planning outline provided here (pages 102-119). The instructor worked closely with each participant to answer questions and give guidance. Many plans did not call for all of the steps stated in the outline and the advice of the instructor was crucial in helping participants determine which steps were relevant to their plan. At the end of the course the participants shared and critiqued the projects.

PLANNING FOR SPECIAL LIBRARY MANAGEMENT

EVALUATION SUMMARY

In order to insure that our programs continue to meet the needs of participants, would you please take the time to evaluate the program you have just completed.

Please rate each of the items below according to the categories indicated by placing a check (✓) above the appropriate number adding comments where necessary or appropriate.

1. In general the objective of the workshop was to introduce participants to theories and techniques of planning, which will help them to manage their libraries more effectively. To what extent was this objective accomplished for you by the workshop program?

AVERAGE RESPONSE 3.7

Not at all		1	3	13	2	Very well
	1	2	3	4	5	

2. If you feel the workshop objective was successfully achieved for you, indicate the one factor that contributed most to its success. Likewise, if you feel it was not successfully achieved for you, indicate the one factor that contributed most to its failure.

See Page 97

3. Your personal expectations for the course:

3.5 (1 no response)

Not achieved		2	5	11		Exceeded
	1	2	3	4	5	

4. Design of the course:

3.4

Poor		2	7	9	1	Superior
	1	2	3	4	5	

5. Complexity of the course material:

3.0

Too simple		2	15	2		Too complicated
	1	2	3	4	5	

6. Course content:

2.8

Too theoretical		4	13	2		Too practical
	1	2	3	4	5	

7. Information obtained from other participants:

2.7

No new helpful information	5	3	4	6	1	A great deal of new helpful info.
	1	2	3	4	5	

8. Rate the course instructor in terms of content and delivery:

		1	2	3	4	5		AVERAGE RESPONSE
Content:	Poor		1	6	8	4	Excellent	3.7
Delivery:	Poor	1	1	5	7	5	Excellent	3.7

Comments: See Page 97

9. List the most valuable and least valuable aspects of the course for you:

MOST VALUABLE	LEAST VALUABLE
See Page 97	

10. What changes would you recommend? See Pages 97 - 98

11. Do you have any suggestions for additional courses which the Council of Governments might offer to meet your special needs or those of your library?

See Page 98

12. Please add any additional comments, criticisms, and suggestions you may have concerning course content, format, instructor , and your needs.

See Page 98

PLANNING FOR SPECIAL LIBRARY MANAGEMENT

EVALUATION SUMMARY

(con't)

Attachment for question 2 - Factors contributing to overall success or failure:

0 Opportunity to design a plan for one's own needs was meaningful (5)
0 Successful presentation of an overall view of the planning process (2)
0 Useful to learn planning techniques and how to implement them
0 Good handouts and individual attention from the instructor
0 Group too mixed and expectations too varied (3)
0 Examples should come from libraries rather than businesses
0 Not enough practice on techniques of planning
0 More planning theory would have been useful

Attachment for question 8 - Evaluation of Instructor:

0 Attentive to individuals and individual projects
0 Clear and logical presentation
0 Poor utilization of time
0 Some of the material was not applicable
0 Content too abstract
0 Some difficulty in relating specific problems to the course outline
0 Student participative exercises would benefit the course
0 Examples should relate to special libraries instead of businesses
0 Instructor more effective on a one to one basis than on a group level

Attachment for question 9

Most valuable aspects of course:

0 Having to plan for one's own library
0 Overview of the planning process
0 Classroom exercises
0 Goal setting

Least valuable aspects of course:

0 Lack of group participation
0 Time wasted on the outline
0 Instructor's lack of familiarity with libraries
0 Information design

Attachment for question 10 - Recommended changes:

0 More homogeneous grouping of participants according to size and type of library
0 More team approaches (3)
0 A glossary for the first day's lecture

- More advance notice to participants so they can prepare ideas to be brought to the workshop
- More participant involvement
- "Workbook" format to expedite development of individual plans

Attachment for question 11 - Other training needs:

- Resource Sharing
- Federal Libraries & Contracting
- Communication
- Organizational Development
- Zero-Base Budgeting for Libraries
- Marketing Library Services

Attachment for question 12 - Additional Comments:

- Include a course bibliography
- Stress the objective of the course
- Have only team participation
- Distribute readings one week before the beginning of the course

Did you think the team approach was useful

Non-team Participants

7 "yes" responses - 2 "no" responses
Team came up with more ideas than individuals; course seemed geared to teams; one never plans alone in the real world; good to observe teams involved in the planning process.

Team Participants

8 "yes" responses - 1 "no" response
Individuals were never left out; opportunity to work with a colleague on a project; exchange of ideas and viewpoints; two heads are better than one.

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PLANNING FOR SPECIAL LIBRARY MANAGEMENT

EVALUATION BY INSTRUCTOR

As part of our evaluation of the Metropolitan Washington Library Council's management training program for special librarians, we are asking you to complete this questionnaire. Your reactions will help us in assessing the effectiveness of this workshop and in structuring future courses. Thank you for your cooperation.

NAME: David Callahan

1. Were you generally satisfied with the outcome of this course?

Yes, Feedback from participants indicates that, Generally, they are satisfied- therefore, so am I

2. Did you feel that your pre-course orientation to the special library environment adequately prepared you to address this group? What was the most valuable: consultation with advisory committees; site visits; background readings, etc.? What would you change or add?

Pre-course orientation was OK- I did not visit any special libraries, although that option was available- if I did It over, I would make those visits.

3. Please comment on the responsiveness of the participants (amount of discussion, group interaction, interest, enthusiasm, etc.).

While participants were responsive, there was a relatively low amount of interaction- I think this is principally due to workshop design, and some design changes can improve this aspect.

4. What differences, if any, did you note between this group and others you have addressed with similar presentations?

The level of management sophistication is quite low- I think this is true for librarians as a group

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5. Were you adequately informed as to what was expected of you?

Yes, There were no surprises

6. Do you have any comments or suggestions which might help us in planning and implementing future workshops?

1) conduct workshops for participants from libraries of similar size 2) Conduct workshop for teams 3) some changes in emphasis from planning process to work planning

7. Would you be willing to participate in similar workshops for special librarians in other parts of the country?

Yes

8. Did you think the team approach was useful? If so, in what ways? If no, why not?

Extremly- for those in teams- design should and can be revised to make more and better use of teamwork.

PLANNING FOR SPECIAL LIBRARY MANAGEMENT

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Library Related

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Walker S.B. "Libraries, Managers, and People" Special Libraries 66:411-15 Sept. '75

INGREDIENTS IN THE PLANNING PROCESS

I. TASK DESIGN

- Examine the challenge for action
- Identify goals
- Specify objectives
- Select approach
- Determine tasks

II. INFORMATION DESIGN

- Determine method for developing information
- Specify data requirements and identify sources
- Determine how to collect the data
- Determine the disposition of the information

III. MANAGEMENT DESIGN

- Resource Design
    - Specify resources required for task completion
    - Develop standards for application of resources
- Control System Design
    - Establish content of control system for resources
    - Establish content of control system for task results
    - Develop administrative routines

IV. IMPLEMENTATION DESIGN

- Secure support of participants
- Obtain required approvals and commitments
- Assign responsibilities

I. TASK DESIGN

EXAMINE THE CHALLENGE FOR ACTION

1. What is the challenge for action?
    - What subject or area of interest is referred to?
    - What type of activity within the area of interest is indicated?
    - What constraints - implied and explicit - are included?
    - What are the underlying assumptions?
    - What other information is needed or would be useful in examining the challenge for action?

2. Is it appropriate to consider this challange for action?
    - From where or whom did the challenge come?
    - Is the action that seems indicated actually what should be done?
    - How does this relate to established organizational concerns?
    - How does this relate to my present duties and responsibilities?
    - Do other factors have a bearing on the consideration of this challenge for action? (e.g., future opportunities, follow-up on a prior commitment, professional satisfaction, special courtesy)

3. What are the consequences of accepting this challenge?
    - How does this relate to the established priorities for
        a. the organizational concerns?
        b. my duties and responsibilities?
    - Is someone doing it already?
    - What would happen if nothing were done?
    - What advantages and disadvantages will result from accepting this challenge?
    - Will accepting this challenge detract from something else, and to what extent?

4. What is my response?
    - Is the challenge for action statement sufficiently clear and complete to serve as the basis for making a decision?
    - Does it have to be done now?
    - Does all of it have to be done? Can part of it be done?
    - Is this a decision I can make on my own?

1. TASK DESIGN

IDENTIFY GOALS

1. To meet the challenge for action what goal(s) should be formulated?
    - What problems emerged in examining the challenge for action?
    - Are there other problems or conditions that should be taken into account in describing the situation as it presently exists?
    - What condition(s) should exist?
    - What major results must be obtained in order to achieve these conditions?
    - Is it necessary to state more than one goal to describe these major results?

2. Is the goal statement sufficiently complete?
    - Does it give a general indication as to what action(s) are required?
    - Will it serve as a guide to action for a broad range of activities?
    - Does it contain a standard for measuring achievement?
    - Will it be relevant for a fairly long period of time?
    - Is the goal understood by all concerned?

3. Will the goal be effective in meeting the challenge for action?
    - Does the goal reflect the type of activity contained in the challenge for action?
    - Have the problems and conditions of the existing situation been taken into account?
    - Is the goal realistic in terms of resources and constraints?
    - Is the goal acceptable to all concerned?

4. What are the implications associated with the goal?
    - Does it conflict with other goals of the organization?
    - Do other goals have to be accomplished first?
    - What will be the impact of achieving the goal?
    - What are the chances of success?
    - Does failure to reach one goal endanger any other goals in the set?
    - What would be the consequences of failure?

1. TASK DESIGN

SPECIFY OBJECTIVES

1. How can the objective(s) be derived from the goal(s)?
    - Can the goal be broken down into logical and discrete subunits?
    - Is there a standard by which the successful completion of the subunit can be measured?

2. Is the objective statement sufficiently complete?
    - Does it contain a performance standard for measuring progress and evaluating achievement?
    - Is it necessary to specify how the performance will be measured?
    - Is the time for completion reasonable?
    - Is the objective understood by all concerned?

3. Is the objective appropriate to the goal?
    - Will achievement of the objective contribute to achieving the goal?
    - Does this objective conflict or overlap with other objectives for the same goal?

4. What are the implications associated with the objective?
    - Does the objective conflict or overlap with objectives for other goals?
    - Is there any sequence that should be or must be observed among the objectives?
    - What will happen if the sequence is not observed?
    - Is it acceptable to all concerned?

1. TASK DESIGN

SELECT APPROACH

1. What are all the possible approaches that could be used to achieve the goal or objective?
   - Has anyone else ever done it? all of it? part of it? What approaches have they used?
   - Have the approaches that previously were classified as "unworkable" been included?
   - Have "brainstorming" sessions been held on possible new approaches with experts? others?

2. Will each alternative approach be effective in meeting the goals and objectives?
   - Will it achieve the stated goals and/or objectives?
   - Does it meet the imposed constraints?
   - Is it consistent with standard organizational policies and procedures?

3. What are the implications and consequences associated with each alternative approach?
   - Is it realistic in terms of available resources?
   - Is it realistic in terms of constraints?
   - Does it call for new techniques?
   - Does it call for a team approach?
   - How do alternatives compare in terms of results achieved for money spent?
   - What are the chances of success?
   - Does this approach have utility for other goals or objectives?
   - Is it acceptable to all concerned?

1. TASK DESIGN

DETERMINE TASKS

1. **What tasks are required to accomplish the objective using the selected approach?**
   - What steps are mandatory or suggested by the technical aspects of the approach?
   - What operational tasks are necessary to manage, support and facilitate the execution of the technical tasks?
   - What operational tasks are necessary to disseminate information concerning task results?

2. **Are the task statements sufficiently complete?**
   - Does each statement readily indicate the type of action that is to take place?
   - Does each statement clearly indicate the product or outcome of that action?
   - Have all tasks necessary to achieve the objective been specified?
   - Is there any overlap or duplication of tasks?

3. **Are the tasks appropriate?**
   - Are they consistent with the chosen technical and operational aspects of the approach?
   - Will they produce the outcomes described in the objectives?

4. **What are the implications or consequences of the tasks?**
   - Are they feasible?
   - Are they understood by those who will be performing them?
   - Can more than one task be done at the same time?
   - Is the order of execution clearly indicated?

DETERMINE METHOD FOR DEVELOPING INFORMATION

1. What information is needed?
    - How will the information be used? (e.g., assessment, forecasting, technical or operational evaluation)
    - Who will be using the information?
    - How accurate must the information be?
    - How precisely must the information be expressed?
    - Has the information already been developed?

2. What data analysis technique(s) will be selected to produce such information?
    - What techniques are available?
    - How refined must the technique be to produce the required accuracy and precision?
    - Are special people or facilities required to apply the technique?
    - What length of time will be required to apply the technique?

II. INFORMATION DESIGN

SPECIFY DATA REQUIREMENTS AND IDENTIFY SOURCES

1. What are the specifications for the raw data?
   - What kind of data will yield the desired information? (e.g., test scores, factory rejects, birth rate)
   - In what terms should the data be expressed? (e.g., raw scores, dollars spent for scrap and rework, births per thousand population)
   - How accurate must this data be?
   - What level of detail is needed?
   - What other characteristics of the raw data are prescribed by the data analysis technique?
   - Is it possible that with slight modification of specifications the data could be used for another purpose?

2. What are the source(s) from which the data will be collected?
   - What sources are available that can yield the specified data?
   - How accessible is each source?
   - How costly will it be to collect the data from each source?
   - How long will it take to collect the data from each source?
   - What is the relative ease of collecting the data from each source?

II. INFORMATION DESIGN

[illegible]TERMINE HOW TO COLLECT THE DATA

1. **What individual observations will be collected?**
    - What characteristics of the population from which the data are to be collected are relevant to the information being sought?
    - Which of these characteristics will be considered in the data collection?
    - What is the distribution of each characteristic among the population? (e.g., the distribution of heights among basketball players)
    - How many groupings will be designated for each characteristic? (e.g., if the characteristic is age, the groupings might be: under 25, 25-40, over 40)
    - According to the requirements of the data analysis technique, how many individual observations will be collected from each of the groups?
    - How will the individual observations be selected?

2. **What collection instrument(s) will be used to collect the data?**
    - Which collection technique (e.g., test, questionnaire, interview or observation) is most suitable to obtain the specified data from the selected source(s)?
    - Is an appropriate collection instrument for this technique available or must one be devised?
    - Is it necessary to validate the collection instrument?
    - What is the reliability of the collection instrument?

3. **What data collection procedures will be followed?**
    - Are the data already assembled or do they need to be generated?
    - Are there any implications about the data source that should be considered in the data collection procedures? (e.g., should the interviewer be able to speak more than one language?)
    - In what format should data be collected to meet the requirements of the analysis technique?
    - Have the necessary times and sequences for data collection been specified?
    - What control procedures are necessary to assure the accuracy of the data and its analysis?
    - Are written instructions required for any of the collection procedures?
    - Should a pilot run be conducted to test the collection instrument(s), procedures and instructions?

II. INFORMATION DESIGN

DETERMINE THE DISPOSITION OF THE INFORMATION

1. **What shall be done with the information to be communicated?**
   - What information should be communicated?
   - To whom is the information being communicated?
   - For what purpose(s) is it being communicated?
   - What use will be made of the information by the individual or group that receives it, or what action are they expected to take on the basis of the information?
   - Is additional information required for explanation or supplementation?
   - How can the information be communicated most effectively?
   - What resources are available to prepare the information for communication?
   - What record of communication is required?

2. **What information should be stored and how should it be stored?**
   - Is there a possibility that the information can be used in the foreseeable future for the same purpose? for another purpose?
   - Is the information stored in a readily retrievable form and location?
   - Do those who might use the information know where it is located and how to retrieve it?
   - Is there a procedure of review to determine the destruction or continued storage of the information?

SPECIFY RESOURCES REQUIRED FOR TASK COMPLETION

1. **What are the necessary qualifications for the resources?**
   - What human skills are required?
   - What equipment capabilities are indicated?
   - What environment is required for manpower and equipment to properly function in terms of facilities, location, information access and special requirements?

2. **What are the standards for measuring these qualifications?**
   - Can the qualifications be expressed in quantitative terms?
   - Can the qualifications be expressed in behavioral terms?
   - Can the qualifications be expressed in qualitative terms?
   - Are devices available, or can they be developed, to measure these qualifications?
   - If not, are there ways of indirectly determining the existence and the degree of the specified qualifications?

3. **How are the resources to be selected?**
   - How can the devices for determining the existence and degree of the specified qualifications best be used in selection of resources?
   - What resources having the specified qualifications are available within the organization?
   - What resources having the specified qualifications must be obtained outside the organization?
   - What resources must be created to meet the specified qualifications?
   - Are these resources available within the constraints of time and money? If not, what adjustments can be made?
   - Are there any requirements that must be taken into account such as administrative policy, union regulations or legal requirements?

III. MANAGEMENT DESIGN

DEVELOP STANDARDS FOR APPLICATION OF RESOURCES

1. What are the schedules for the completion of tasks and the application of resources?
    - When do the goals and objectives have to be achieved?
    - Are there crucial times for task reports and reviews?
    - Are there logical times for task reports and reviews?
    - Is there a particular order of execution for the tasks?
    - When will the resources and information required to initiate each task be available?
    - Are there other commitments on the resources?
    - Are there constraints as to when monies must be spent?

2. What is the budget?
    - Which of the specified resources have to be budgeted for?
    - Does the cost have to be estimated or is it assigned?
    - Is the total cost within the financial constraints? If not, what accomodations can be made in the applied resources or the objectives?

3. What are the performance standards for the resources?
    - Are the selection standards applicable?
    - Is there reason to expect the performance standards to change over time?
    - What additional standards must be developed?
    - What devices are needed to measure the performance?

III. MANAGEMENT DESIGN

ESTABLISH CONTENT OF CONTROL SYSTEM FOR RESOURCES

1. How will the application of the specified resources be measured?
    - Which of the resources required for task completion are to be checked?
    - What aspects of each specified resource is it necessary to regulate? (quantity, quality, time)
    - For what reason is this regulation necessary?
    - In what units of measure should the application of the resource be expressed to be most suitable to the purpose of regulation?
    - Is a measuring device required?

2. Are the standards (schedule, budget, performance standards) adequate for these specified resources?
    - Are they in sufficient detail to be useful measures?
    - Are they expressed in terms most suitable to the purpose of regulation?

3. What should be the frequency of these checks?
    - At what intervals is it crucial to review the utilization of the specified resources?
    - At what intervals is it logical to review the utilization of the specified resources?
    - Is there a need for additional checks?

III. MANAGEMENT DESIGN

ESTABLISH CONTENT OF CONTROL SYSTEM FOR TASK RESULTS

1. How will the task results be measured?
    - Which of the task results are to be measured?
    - What aspects of each task result are to be measured? (quantity, quality, time)
    - For what reason is this measurement necessary?
    - In what units should the task results be expressed to be most suitable to the purpose of measurement?
    - Is a measuring device required?

2. Are the results standards adequate?
    - Are they in sufficient detail to be useful measures?
    - Can they be expressed in terms to be most suitable to the purpose of regulation?

3. What should be the frequency of these checks?
    - At what intervals is it crucial to review the task results?
    - At what intervals is it logical to review the task results?
    - Is there a need for additional checks?

DEVELOP ADMINISTRATIVE ROUTINES

1. What should be the frequency of control reports?
    - Should the results of every check for resource control be reported?
    - Should the results of every control check for task results be reported?
    - Can the resource and task reports be combined?
    - Can the control reporting periods be made to coincide with existing reporting periods?

2. What information is needed as a basis for making adjustments?
    - How many different adjustments should be prescribed?
    - At what level of difference revealed by the comparison of actual to standard should a particular adjustment be indicated?

3. Are the instructions for adjustment stated in a way that will insure proper response?
    - Is it clear which instruction goes with which indicated adjustment?
    - Can the instructions be easily carried out?
    - Are the instructions consistent with existing organizational routines?
    - Are the instructions directed to those who can and will insure the proper response?
    - Is there a need for written instructions?

4. In what form should the control information be recorded and reported?
    - What type of information is to be recorded? numerical? non-numerical? verbal? direct observation? a combination?
    - Should the information be collected, analyzed and stored by a mechanical device such as a computer?
    - What kinds of forms for recording or reporting information would be most useful?
    - Can standard or existing forms serve the purpose of the control system?
    - Is it necessary to prepare written instructions for the use of the control forms?

5. What kind of audit system is required?
    - What checks on the control system are required to assure the effectiveness of the control system?
    - When should the checks be made?
    - What instructions must be developed?

6. Is the control workload reasonable?
    - How crucial are the task results?
    - How consistent is the level of performance of the resources?
    - Does the control system cover all critical aspects of resource application and task results?
    - Is there any unnecessary duplication?

SECURE SUPPORT OF PARTICIPANTS

1. Who are the participants?
    - Who will be developing the plan?
    - Who will be implementing the plan?
    - Who will be affected by the plan?
    - Who else can influence the plan?
    - Which individuals or groups should work together?

2. Is the participant up-to-date on the events and decisions that preceded his involvement?
    - Is he aware of what other participants are thinking and how they arrived at their present positions?
    - Is it clear why he is being involved?

3. What is each participant ready to do?
    - What would he like to see accomplished?
    - What would he like to contribute?
    - What has he to gain (lose) through participation?

4. How can each participant best be engaged in the effort?
    - Where is there an opportunity for a successful first step?
    - How can participation in the first step lead to further participation?
    - What can be done to review and reshape the evolution of each participant's role?
    - How will participants exchange views on how they feel about their developing work and respective roles?

IV. IMPLEMENTATION DESIGN

OBTAIN REQUIRED APPROVALS AND COMMITMENTS

1. Have the proper approvals and commitments for the involvement of participants been secured both within and outside the organization?
   - Who is responsible for approving the individual's participation?
   - What formal approval procedures should be adhered to?
   - Are the following conditions of the participant's involvement understood and accepted by all concerned:
     - a. task outcomes?
     - b. when needed?
     - c. how long participant is needed?
     - d. degree of commitment?
     - e. effect on total work load ?
     - f. provision for making adjustments?
     - g. amount and method of payment?
   - Is the level of detail sufficient to permit action?

2. Have proper approvals and commitments for other resources been secured both within and outside the organization?
   - Who is responsible for securing or administering the resources?
   - What formal approval or procurement procedures should be adhered to?
   - Are the following conditions of the procurement and utilization of the resources understood and accepted by all concerned:
     - a. specifications and/or performance requirements?
     - b. when needed?
     - c. how long it is needed?
     - d. arrangements such as installation, maintenance and repair?
     - e. amount and method of payment?
   - Is the level of detail sufficient to permit action?

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IV. IMPLEMENTATION DESIGN

ASSIGN RESPONSIBILITIES

1. Are the assignments sufficiently complete?
    - Is it clear what the background and rationale for the assignment are?
    - Is it clear what the participant is to accomplish? (e.g., a study, an action)
    - Is it clear how results will be measured and evaluated?
    - Is it clear what help and resources are available?
    - Is it clear how the participant is expected to work with others?
    - Is it clear how and when progress is to be reported?
    - Is it clear how the objectives of the assignment support other goals and policies?
    - Have the lines of authority been clearly delineated?

2. Have the assignments been prepared and communicated to facilitate effective performance?
    - Are the assignments consistent with organizational policy and procedures?
    - Is the designated authority consistent with the assigned responsibilities?
    - What is the past pattern of working relationships between the participant and the person making the assignment?
    - What is the current relationship?
    - How is the participant likely to view the assignment? Does it match what he is ready and able to do? Does it match what he sees as appropriate from the person making the assignment?
    - Given the pattern of communication and working relationship how can the assignment best be communicated? orally? in writing?
    - What steps will be taken to assure solid mutual understanding, acceptance of and commitment to the assignment?

management communications

MANAGEMENT COMMUNICATIONS*

April 26, May 1, 3, 1979

BACKGROUND INFORMATION

CLASS PROFILE

Number of applicants: 28
Number of participants: 22
Years of managerial experience:
- 0-5 years - 11 participants
- 6-10 years - 7 participants
- 11+ years - 4 participants

Size of library:
- 1-5 employees - 12 participants
- 6-10 employees - 0 participants
- 11-20 employees - 0 participants
- 21+ employees - 10 participants

PROBLEM CENSUS (Identified by participants)

How to:

- motivate subordinates
- communicate when there is no formal management structure
- delegate effectively
- get more staff and resources without sounding like chronic complainer
- get employees to accept change
- insure mutual understanding of goals or assignments
- communicate objectives of our programs to management and employees
- develop a self perpetuating communications system
- use transactional analysis
- use MBO
- influence top management
- know what form of communication to use
- How much information to give to top management

INSTRUCTOR

Dr. James Owens
12326 Riverview Road
Tantallon, Maryland 20022
Phone: 301/292-4883

RESOURCE PERSONS

- Ellen Berman - TRW Systems Library
- Nancy McManus - Social Science Research Council
- Carol Pyke - Urban Institute
- Frances Swim - National Oceanic and Atmospheric Administration

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MANAGEMENT COMMUNICATIONS

COURSE OUTLINE

MAJOR TOPICS COVERED IN THE THREE DAY PROGRAM

- EFFECTIVE COMMUNICATION
- MOTIVATING PEOPLE WHO WORK FOR YOU
- INFLUENCING PEERS AND, ESPECIALLY, HIGHER MANGEMENT
- GROUP EFFECTIVENESS (GROUP DYNAMICS)

Day 1

In the morning session, the following topics (and specifics) were stressed: the group dynamics structuring of group activities into "Task" and "Maintenance" types of issues and functions (page 131); how the latter can disrupt effectiveness at the task level; what a "manager" is and the conceptual, human and technical functions of the manager (pages 132-133); three kinds of organizational structure (line, line and staff, and "matrix"), and a problem census in which participants expressed their actual on-the-job problems (page 121).

In the afternoon session, communication theory was introduced stressing a number of barriers to effective communication (pages 134-135); the essential "Parent, Child, Adult" concepts from Transactional Analysis were used; participants then developed examples of communication failures and successes on the job and analyzed the reasons why.

Day 2

In the morning session, participants discussed a number of "Communication Experiences" (pages 136-137) in order to review the first day's communication concepts. Presentations were then made on leadership theory studies: Autocratic, Diplomatic, Participative, Free Rein styles (pages 138-139) and Motivation Theories such as Maslow, Theory X&Y and Herzberg, (pages 140-141), followed in each case by small groups exploring ways to use the advantages and disadvantages of each leadership style on the job.
In the afternoon, participants discussed ways to apply these theories and ideas to the motivation of their employees. Four specially designed cases were discussed: Ask and, Wellington, Laura Kemper and Department of Bureaucracy Library (pages 142-144).

Day 3

Discussion of motivation cases carried over into the morning of the third day. Key ideas were then presented concerning "Persuasive Communication" (getting attention, maintaining interest, building conviction, dramatizing) aimed at the issue of how to influence peers and higher management. A simulation (Blue Green Game) was used to demonstrate the problems of conflict in organizations and the need for clear goals. Key MBO concepts were mentioned here (pages 145-146). The instructor also described the concepts of force field analysis and organizational change (page 147).

The afternoon was devoted to discussion, first in small groups. Then general discussion followed with actual examples from the participants of successful implementation of programs and how they "influenced" management to support them. This was followed by the summarizing case study "The Serendipity Research Company Library" (pages 148-154). Instructor's notes are included in this report (pages 155-164).

The program concluded with a summary of the four themes.

MANAGEMENT COMMUNICATIONS
EVALUATION SUMMARY

In order to insure that our programs continue to meet the needs of participants, would you please take the time to evaluate the program you have just completed.

Please rate each of the items below according to the categories indicated by placing a check (✓) above the appropriate number adding comments where necessary or appropriate.

1. In general the objective of the workshop was to introduce participants to theories and techniques of Management Communications. To what extent was this objective accomplished for you by the workshop program?

							AVERAGE RESPONSE
Not at all	1		3	10	6	Very well	4.1
	1	2	3	4	5		

2. If you feel the workshop objective was successfully achieved for you, indicate the one factor that contributed most to its success. Likewise, if you feel it was not successfully achieved for you, indicate the one factor that contributed most to its failure.

See Page 125

3. Your personal expectations for the course:

Not achieved		1	8	11		Exceeded	3.5
	1	2	3	4	5		

4. Design of the course:

Poor			7	11	3	Superior	3.9
	1	2	3	4	5		

5. Complexity of the course material:

Too simple		10	12	2		Too complicated	2.9
	1	2	3	4	5		

6. Course content:

Too theoretical			14	4	1	Too practical	3.2
	1	2	3	4	5		

7. Information obtained from other participants:

No new helpful information		3	4	8	5	A great deal of new helpful info.	3.7
	1	2	3	4	5		

8. Rate the course instructor in terms of content and delivery:

		1	2	3	4	5		AVERAGE RESPONSE
Content:	Poor		1	3	8	8	Excellent	4.2
Delivery:	Poor			3	7	10	Excellent	4.0

Comments: See Page 125

9. List the most valuable and least valuable aspects of the course for you:

MOST VALUABLE	LEAST VALUABLE
See Page 125	See Page 125

10. What changes would you recommend? See Page 125

11. Do you have any suggestions for additional courses which the Council of Governments might offer to meet your special needs or those of your library?

See Page 126

12. Please add any additional comments, criticisms, and suggestions you may have concerning course content, format, instructor , and your needs.

See Page 126

MANAGEMENT COMMUNICATIONS
EVALUATION SUMMARY

(con't)

Attachment for question 2 - Factors contributing to overall success or failure

- Handouts, simulations, games, & role playing (4)
- Group dynamics (4)
- Instructor's strong leadership and relaxed style (3)
- Dealing with practical management problems common to librarians (2)
- Motivation to try new communication techniques
- Opportunity for feedback from fellow librarians.

Attachment for question 8 - Evaluation of Instructor

- Directed content to library applications
- Kept discussions on target (3)
- Ability to elicit group participation
- Good control of time
- Good handouts and case studies
- Bibliography of related readings would be useful
- Too many games and anecdotes
- Small groups not as productive as large group

Attachment for question 9

Most valuable aspects of course:

- Sharing common problems
- Mix of lecture and group sessions
- Handouts and exercises
- New ways to look at old problems
- Role playing
- Communication with instructor

Least valuable aspects of course:

- Theories on management
- Motivation and leadership style too simple
- Not enough imput by participants
- Too long group discussions
- Introductory session

Attachment for question 10 - Recommended changes

- Handouts to be read outside of class to allow more time for workshop exercises
- Level of content of management theory could have been more advanced
- Shorter introductory presentation

Attachment for question 11 - Other training needs

0 Time management
0 Management of small special libraries
0 Performance appraisal process
0 Supervision
0 OCLC demonstration
0 A follow-up of this course

Attachment for question 12 - Additional comments

0 More male participants
0 Better ventilation in workshop room

MANAGEMENT COMMUNICATIONS

EVALUATION BY INSTRUCTOR

As part of our evaluation of the Metropolitan Washington Library Council's management training program for special librarians, we are asking you to complete this questionnaire. Your reactions will help us in assessing the effectiveness of this workshop and in structuring future courses. Thank you for your cooperation.

NAME: Dr. James Owens

1. Were you generally satisfied with the outcome of this course? Yes

2. Did you feel that your pre-course orientation to the special library environment adequately prepared you to address this group? What was the most valuable: consultation with advisory committees; site visits; background readings, etc.? What would you change or add?

I would change nothing. As I mentoned during the program, the orientation of faculty in all the ways above was excellent.

3. Please comment on the responsiveness of the participants (amount of discussion, group interaction, interest, enthusiasm, etc.).

I asked for this on the first day and got their frank participation and sharing of ideas and experiences to such a degree that slight, but easy, adjustments to the time line had to be made. Responsiveness excellent.

4. What differences, if any, did you note between this group and others you have addressed with similar presentations?

None of any importance except possibly a greater eagerness for the subject of "managing," to supplement their professional knowledge of their field.

5. Were you adequately informed as to what was expected of you?

Yes. (See above)

6. Do you have any comments or suggestions which might help us in planning and implementing future workshops?

Everything was planned excellently. Only one suggestion. The conference room we were in is too small for 25 people (for an interactive and workshop-type program). If that conference room is used again, I would suggest confining enrollment (including observers, recorders, etc.) to no more than 20 people in the room.

7. Would you be willing to participate in similar workshops for special librarians in other parts of the country?

Yes

MANAGEMENT COMMUNICATIONS

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WHAT TO LOOK FOR IN GROUPS

When two or more people are together forming a "group," the human situation may appear simple to most; but, for the trained observer (sensitive to the group dynamics involved and knowing what kinds of things to look for) such a situation is usually extremely complex. The skill to notice, understand, and deal with the very many things that are "happening" in a group is critical to the real success and task accomplishment of the group. In most groups, at any given moment, two kinds of things are usually happening: "TASK-level" things having to do with the content, task or goals which a group is engaged in; and, "MAINTENANCE-level" things having to do (quite independently of the group's task) with the purely human elements and interactions within the group (such things as the group and human atmosphere, friendliness or hostility, participation or silence, leadership or followership, conflict or harmony, open or evasive communication, etc.). ("Maintenance" refers to how well a group is "holding itself together," "Maintaining" its "group effectiveness" as a human group.) An example is a group which "falls apart" because of petty bickering over seating arrangements, location of the next meeting, etc. Ineffective at the "maintenance" level, the group achieves nothing re: Task. Awareness of what is happening at the "task" and the "maintenance" levels will make any groupmember a more effective group participant and increase his worth to the group and its objectives. Kinds of things to "look for" can be classified into the following categories:

● AT THE TASK LEVEL

- Initiating: defining the problem; suggesting alternatives and solutions; evaluating ideas proposed.
- Information-seeking: Asking for facts and opinions; requesting information.
- Information-giving: Providing information; offering facts; stating opinions, ideas and beliefs.
- Clarifying, Interpreting and Elaborating: Re-stating ideas of others; giving examples; "feedback."
- Summarizing: Re-stating and comparing similarities and differences of stated opinions.
- Testing for Consensus: Isolating areas of agreement, stating these and asking if the group agrees.

● AT THE MAINTENANCE LEVEL

- Participation: Who are the high, and low, participators? Any "silent members?" Why? "Monopolizers?"
- Communication: Free and open or stiff and defensive? Honest and frank or evasive? Clear or vague?
- Leadership: Who is most -and least- influential? Is this good? Is there any leadership and direction or is it a comfortable, easy-going, "fat and happy" group accomplishing nothing? Too much leadership? Is leader autocratic, forcing his ideas and suppressing others' ideas?
- Group Background: What's the history of the group? Who is present? Special interests? Hidden agenda?
- "Owning up:" Degree to which participants are frank, "say it like it is," or are vague and "fudge."

- Mutual Support: Do members encourage others to state ideas, even if in disagreement? Or, is disagreement suppressed? Do members really respect eachother and accept disagreement?
- Receptiveness: Do members really LISTEN to others' ideas, encourage them to speak - even if such ideas conflict with personal views? Is open discussion of disagreements encouraged or suppressed?
- Mutual Trust: Degree to which members are mutually suspicious, guarded or open and trusting.
- Team-orientation: Are members stressing individual interests or concentrating on the group goal?
- Cohesiveness and Loyalty: Do members enjoy being part of the group - or dislike the group? Is there a spirit of friendliness or hostility? Easy or stiff atmosphere? Who likes whom?

- Conflict Resolution: How is disagreement and conflict resolved and a decision arrived at? Leader "forces" his view? Members ignore and withdraw from the disagreement and act as if it didn't exist? Open warfare? Compromise? Bargaining? Open discussion of it? Majority vote? Clarifying group's common goals and searching for new alternatives acceptable to all? Or, an ideal approach: "confrontation:" openly surfacing and acknowledging the disagreement, "working" through it and resolving it by open discussion of all facts, objective evidence and agreeing to reach a joint decision on the "merits of the case" rather than individual and personal feelings.

Managerial Delegation

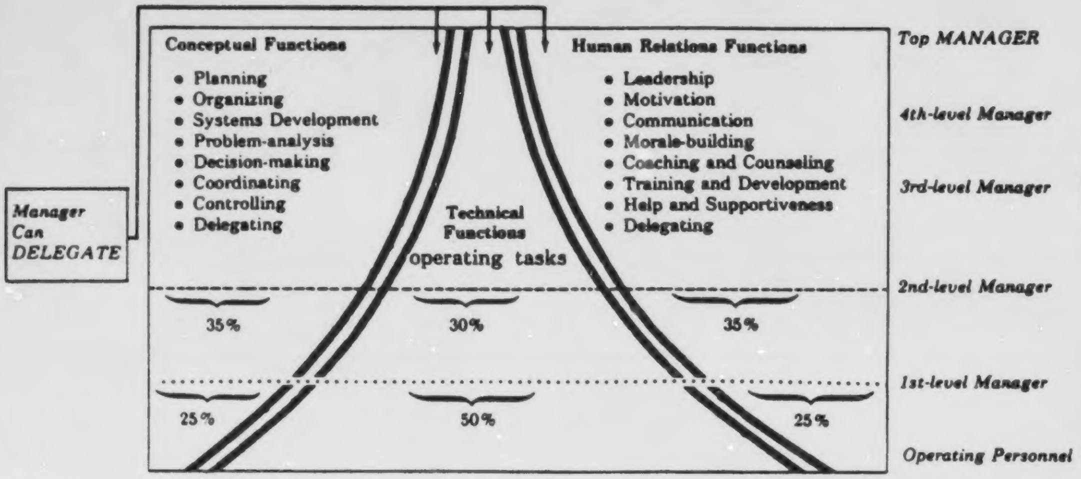
Conceptual Functions
• Planning
• Organizing
• Systems Development
• Problem-analysis
• Decision-making
• Coordinating
• Controlling
• Delegating
Technical Functions
operating tasks
Human Relations Functions
• Leadership
• Motivation
• Communication
• Morale-building
• Coaching and Counseling
• Training and Development
• Help and Supportiveness
• Delegating
Manager Can DELEGATE
35%
30%
35%
25%
50%
25%
Top MANAGER
4th-level Manager
3rd-level Manager
2nd-level Manager
1st-level Manager
Operating Personnel

EXHIBIT I. THE JOB OF THE MANAGER

A Model of the Manager's Job

Let's examine, first, a model (Exhibit 1).

The curved lines, as they ascend through the model, change the proportional *length* of any horizontal line (for example, the *dotted* line corresponding in its vertical position to a 1st-level manager) in terms of *how much* of the line lies in the *technical* functions area as distinct from the areas representing managerial functions. For example, let any horizontal line in the model represent 100% of a manager's time and effort on the job; then, cautioning that the "quantities" used here do not imply any literal or exact values but merely suggest differences in proportions of time and effort, the *dashed* line suggests that the corresponding *2nd*-level manager is (or *should* be!) investing proportionally *less* time in technical functions, and *more* in his managerial functions than the *1st*-level manager (*dotted* line). That is, the 2nd-level manager is—or *should* be—*delegating* more than the 1st-level manager.

Thus, the model "visualizes" the manager's delegation function and invites—or forces—his explicit evaluation of his use of his own time; specifically, evaluation of the proportions of his time spent in technical rather than managerial tasks and which of these he should be *delegating* rather than doing himself.

Why Managers Do Not Delegate

- Belief that the only way to get a job done right is to do it yourself.
- Personal enjoyment of the *technical* functions and/or aversion to the managerial.
- Fear of failure and unwillingness to take even moderate and calculated risks.
- Sense of security derived from performing within one's technical area of expertise.
- The feeling that it takes more time to explain the task than to do it yourself.
- The *burning memory* of past *failures*, reflecting harshly on the manager, when he *did* delegate a task.
- Lack of understanding of the delegation process and *how* to do it.

Problems of Managerial Delegation

Apart from the problems arising from a manager's habit of *non*-delegation, typical problems which often begin to descend upon him when he does delegate are:

- Critical deadlines are missed.
- A subordinate is over-ambitious, unaware of his limitations, and seeks tasks which prove, too late, beyond his capability.
- A subordinate, working on a task with an indefinite or distant deadline, is *unaware* that his work is deficient and leading to ultimate failure.
- A subordinate quite *competent* to perform a task fails to do so for reasons, discovered too late, involving flaws of character, degrees of human dependability, trustworthiness and personal ethics.
- Manager delegates a task which should not be delegated at all.
- A subordinate with distant deadlines senses his inability to perform and "hides" his failures within the bureaucracy.
- Goals or operating parameters of the delegation, which the manager and the subordinate both *thought* were clearly understood, prove to have been *mis*understood.
- Subordinate accomplishes the task but inefficiently, at an excessive cost or in ways which disrupt relationships with other departments, customers or other publics.
- Subordinate abuses authority delegated as, for example, using information newly accessible to him for "political" or other self-serving ends.

Delegating, when done properly, is a highly complex managerial process and involves a number of essential elements including both conceptual and human relations skills. These elements are outlined below in logical stages.

1. *Analyze the task to be delegated into its natural parts.* Typically, a manager, about to delegate a task, has himself performed it in the past—or had direct experience with it—to a point where his familiarity with it renders it almost instinctive and simple to *him*. He must, therefore, analyze and again conceptualize the task, *and its parts*, in order to determine what knowledge and skills are required, to whom to delegate, what authorities must be delegated with the task

2. *PLAN the delegation.* Of essence here is that the manager think of a delegation as a task itself to be *planned* if expected results are to happen.

3. *Select the delegatee(s).* Managers often select the person(s) to whom they delegate casually without task analysis or planning. No explicit attention is given to the skills *required* for the task as compared with the skills *available* in subordinates.

4. *Communicate the delegation to the delegatee.* The goal of this stage is that the *subordinate* emerge with a *clear* and adequate understanding of the delegation. This appears axiomatic and routine: the manager merely tells the subordinate what he is to do. But, how well this stage (often involving *many* meetings) is accomplished lies at the root of ultimate success or failure.

Moreover, the *reasons* for, and the importance of, the task being delegated should also be communicated. A subordinate who understands the "why" behind a task usually understands the task itself more comprehensively—and, obviously, is more highly motivated to accomplish it.

5. *Inform all parties concerned.* When a delegation is considered, as it should be, from a "systems approach" viewpoint, the delegation is seen to impact upon many *other* persons and organizational units—it is not a relationship between the manager and subordinate only. The delegation will invariably create a multitude of *new* relationships between the subordinate and others who formerly collaborated with his manager. These "others" should be promptly informed of and properly prepared for the new relationships; otherwise, many surprises await all parties concerned—most of them unpleasant and disruptive.

6. *Coach, train and help the delegatee.* An often fatal flaw in delegation is a manager's assumption that he can delegate a task and then, the task removed from his desk, detach himself from it and the subordinate handling it. In most cases, if the subordinate is to succeed, the very opposite of this assumption holds true: the subordinate will need specific kinds of help at specific times—and ready access to the manager for this help. This is why delegating, as an initial investment of time, does indeed take more time than "doing it yourself." In short, delegation is usually a *gradual process* (not a single completed act). It imposes upon the manager a "helping" role, at least for a period of time while the subordinate is learning and the manager *teaching*, until the subordinate masters the task. Too often this stage is short-circuited or done only superficially. The subordinate is thus left "flying blind" and fails.

7. *Delegate proper DEGREES of authority—and gradually.* This stage can be viewed as a specific part of the previous stage. There are many degrees between the poles of delegating *no* authority and delegating *complete* authority. Some of these degrees (one can easily add others) are:

- *"Blank check" authority* delegated, in which the subordinate is given virtually free rein in his decision-making.
- *Authority to act* delegated but with the requirement of prompt reporting following decisions (to provide opportunity for remedial action in case of errors).
- *Authority to act only after prior approval* of the manager.

The degree of *authority* delegated to the subordinate corresponds (inversely) to the degree of *control* desired by the manager: the higher the degree of control desired, the lower the degree of authority delegated will be; and, reversely, the higher the degree of authority given a subordinate (intentionally or *un*intentionally), the *less control* the manager retains over ultimate results—including unwanted side-effects. Clearly, in the early phases of a delegation, when the subordinate is learning the task (cf. stages 4 and 6), the degree of authority delegated should be low—and increased only gradually as the subordinate approaches mastery of the task. Otherwise, he will typically be swamped with responsibility and authority beyond his capabilities. The subordinate's failure will just as typically be blamed on *him* when such failure is usually the *manager's* failure to delegate properly.

8. *Establish controls and monitor progress of the delegation.* Controlling is essentially a comparison of actual performance with set standards, followed by corrective action to meet—*or revise*—the standards. Such standards should be set in sequence as progress points to be monitored *and discussed* with the subordinate at periodic intervals, frequency being determined by the degree of control desired and the appropriate degree of authority delegated.

9. *Implement the delegation.*

Conclusion

Upon analysis, delegation emerges as a difficult, indispensable and very complex managerial function. A manager must understand its elements and be *willing to invest the time* to provide for them—or invite failure. Even at best, some percentage of failure in delegation, as in decision-making, imposes by its very nature a life of calculated—and controlled—*risk*. But, the alternative, *not* to delegate, *assures* managerial failure or, at the least, mediocrity.

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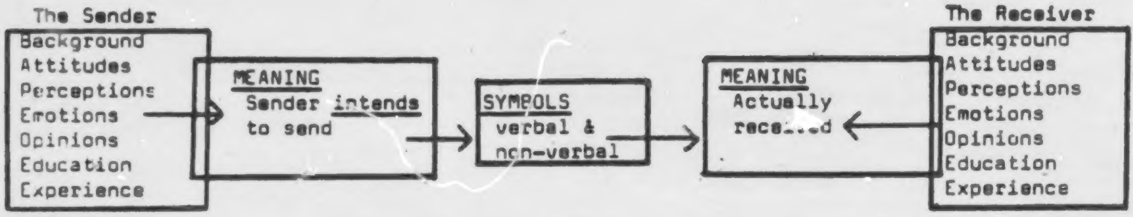
ORGANIZATIONAL
Communication

THE BASIC MODEL



THE MAJOR BARRIERS TO EFFECTIVE COMMUNICATION

1. **The difference between communicators in background, experience, or attitudes.** This deeply based barrier between people is a gap that separates one human being and his *meanings* from another because of differences in personality.

Remedy: Use empathy. Empathy means putting yourself in the other person's shoes and trying to see and experience a situation from his or her point of view instead of your own.

2. **People stereotypes.** When you believe that all the members of a group are the same, you are stereotyping them. People usually have built-in positive or negative attitudes that they associate with a stereotyped group, and these attitudes start operating the moment that they come in contact with a member of that group. Sometimes, merely the word *salesman, auditor, New Yorker,* or *organizer* instantly activates mental blocks and defensive thinking to make genuine communication impossible.

Remedy: Treat each person as an individual. Make a conscious effort to ignore stereotyped images. By ignoring programmed prejudgments, you will keep your communication channels open and be able to listen and understand meanings.

3. **Symbols that have different meanings for different people.** Communication is the transfer of meanings between the sender and the receiver. Symbols are only a means to this end. When the sender decides on his meaning, he sends out symbols to the receiver that clearly match the meaning in the sender's mind. But although the sender already knows what his meaning is, the receiver doesn't. Therefore, the receiver is totally dependent on symbols to gain an understanding of the sender's meaning. Unfortunately, symbols often convey meanings that are quite different from what the sender intended.

Remedy: Get feedback. Feedback is the process in which the receiver "feeds back" to the sender what he thinks the sender meant.

4. **Different general or technical vocabularies.** Most companies today have such diversified functions and departments as sales, production, contracting, research, budgeting, and so on. Each of these fields of specialization has developed specialized terminology known as jargon. Jargon is familiar to insiders and unintelligible to outsiders. When members or practitioners of various fields meet and try to communicate, they may "jargon" each other until no one knows what anyone else is saying. The conversation may sound vibrant and productive, but it's practically unintelligible to the participants.

Remedy: Ask questions. Be empathetic. Questions will solicit feedback. An effective communicator makes a habit of questioning any term, abbreviation, or acronym that he doesn't understand. This may take some nerve, but it is really an act of respect for the sender.

5. **Lack of awareness of nonverbal symbols.** A substantial part of communication is nonverbal, and most of this nonverbal communication is *unintentional* and *unconscious*. These unintended messages, however, can have a devestating effect.

Remedy: Monitor yourself. Any communicator can learn to monitor what he says or does and the effects produced. But it takes effort and a desire *not* to be misunderstood.

6. **One-way-only communication.** Many supervisors give one-way directions or advice and then move busily on to the next task—often leaving the subordinate baffled or frustrated.

Remedy: Get feedback.

7. **Narrow, rigid viewpoints.**

8. **The tendency to jump to conclusions.** People tend to jump to conclusions the moment they hear one fact or see a single act.

Remedy: Suspend judgment. Don't draw any conclusions until you have made a full effort to understand all the facts.

9. **Distractions.**

Remedy: Acknowledge the distraction. Empathy leads the able communicator to acknowledge—rather than to ignore—the distractions and, thus, deal with them in a common-sense way.

A GOOD COMMUNICATOR is like a good chess player: He is able to anticipate and identify potential problems before he makes a move. Because of this, he is often able to prevent a communication breakdown.

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Pg 6

BARRIERS TO COMMUNICATION

SPECIFIC "ON-THE-JOB" COMMUNICATION BARRIERS

1 Receiver is unfamiliar with and has poor (or no) knowledge of the subject; but sender communicates to him as if he did possess such knowledge.

2 Receiver afraid of appearing stupid or incompetent by frankly admitting that he does not really understand the sender's message or certain terms being used.

3 Sender (with no empathy) uses "jargon," abbreviations or technical terms (or "office lingo") totally unaware of the receiver's unfamiliarity with it.

4 Sender, clear in his mind as to his meaning, is lazy in communicating & uses vague, abstract and general language instead of being clear, simple, specific.

5 Sender "mumbles," talks too fast or too low and cannot be heard properly.

6 Communication is hurried, rushed, performed "on the run" (without feedback).

7 Sender ignores the limited educational and vocabulary level of his receiver.

8 Receiver (or sender) not really interested in the message - or the subject.

9 Sender (or receiver) pre-occupied, distracted or mentally "elsewhere."

10 Failure of people to make the effort to SAY clearly what they MEAN!

11 Cultural, professional or status differences between communicators (such as boss to subordinate or doctor to patient).

12 Sender or receiver is angry, sad, emotionally upset or afraid.

13 Sender or receiver makes some ASSUMPTIONS (never checked out by "feedback").

14 Receiver "jumps to conclusions" (often in mid-sentence) about the sender's meaning rather than carefully LISTENING and then forming his conclusion as to the meaning.

15 Failure to inform everyone with a need to know.

A GOOD COMMUNICATOR is like a good chess player: He is able to anticipate and identify potential problems before he makes a move. Because of this, he is often able to prevent a communication breakdown. And if something unforeseen should cause a breakdown, he is ready to handle it.

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Communication Experiences

Directions: 1. For each communication item below, indicate in Column 1 what, in your judgment, would be or is the most appropriate method of communicating to use for the stated objective. Select one (or at most two) of the following eight methods of communication:

- o Formal Report
- o Memo and file copies
- o Telephone
- o Individual conversation
- o Informal Note
- o Personal Letter
- o Staff Meeting
- o Bulletin Board (or House Newsletter)

2. Evaluate ("rate") each communication item, in terms of the organization, structure, style and length of the communication, using the stated objective as the evaluation standard. Indicate your rating by placing in Column 2 either an "A," "B," "C" or "D." "A" means "excellent" and "D" means "very poor," while "B" = "Good" and "C" = "barely satisfactory." Please jot down notes in Column 3 (or on separate sheets of paper) summarizing your REASON(s) for your Column 2 rating.

COMMUNICATION ITEM	Columns 1	2	3
1. **Objective:** Manager intends to get reaction of a subordinate on a new procedure recently introduced into the department. **Communication:** "I am aware, of course, of the new data storage and retrieval system recently installed. Please let me have your comments on how it is working out and its effects, if any, on our operations."			
2. **Objective:** To set up an appointment for a meeting. **Communication:** "TO: Secretary Please type a memo to Al Ludley asking him to meet me in the lobby of the Hilton in N.Y., 7:30 AM, Jan. 7, so that we can discuss tactics at breakfast before our 10:00 AM appointment at IBM."			
3. **Objective:** Manager intends to correct certain serious flaws in style and content of a report submitted by a subordinate for ultimate presentation to top management. **Communication:** The communication consists of the return of the report to the subordinate with many short marginal notes such as "Use an example of the problem here," "This could alienate a certain V.P."			
4. **Objective:** Manager intends to direct a subordinate to handle urgent telephone complaint from a customer who wants action now **Communication:** "I received a complaint from Thomas Langley, a very important customer, complaining that our recent installation of equipment is unsatisfactory. He was quite irritated and spelled out many specifics. Please review the file on his installation job, contact him and be sure the job gets completed to his satisfaction."			

	Columns 1	2	3
5. **Objective:** To direct a secretary to type a report. **Communication:** "Type a final copy of the attached corrected draft report. Use one of my recent reports to the V.P. Personnel re format etc."			
6. **Objective:** To inform subordinates of a merit award. **Communication:** "BULLETIN BOARD ANNOUNCEMENT: Management takes great pleasure in announcing that John Andrews has won this year's Merit Award."			
7. **Objective:** Manager intends to remind one of his department heads of a key report due in one week from now and determine current status of the report. **Communication:** "TO: Secretary Sometime today, phone Jack Mills (Dept. Head) and remind him that the Market report he's working on is due (absolute deadline) in a week."			
8. **Objective:** Manager intends to inform his salesmen of a directive for increased sales volume. **Communication:** " TO: All District Salesmen I have received a directive from corporate headquarters that, due to increasing cost pressures and inroads upon profit, each district is to increase sales volume by at least 5% in the coming quarter. Thus, I will expect each of our district salesmen to revise his work plans and effort to achieve, in each case, the mandated increase."			
9. **Objective:** Manager intends to secure his boss's approval for a program **Communication:** "Attached are full details, supporting data and cost projections for a new (more promotional and sales-oriented) package for our main consumer product. Our department has invested a lot of work into it and we look for your favorable reaction."			
10. **Objective:** Manager wishes to inform his five department heads that he is reviewing current division structure and workflow. **Communication:** " TO: All Department Heads, XYZ Division It will probably come as no surprise that I am reviewing our current division structure as well as the ideal departmental distribution of task responsibilities and work load. I feel certain there are ways we can improve coordination and efficiency in accomplishing the mission of the division. I would like any suggestions you have for such improvement within the next week or so. Thank you."			

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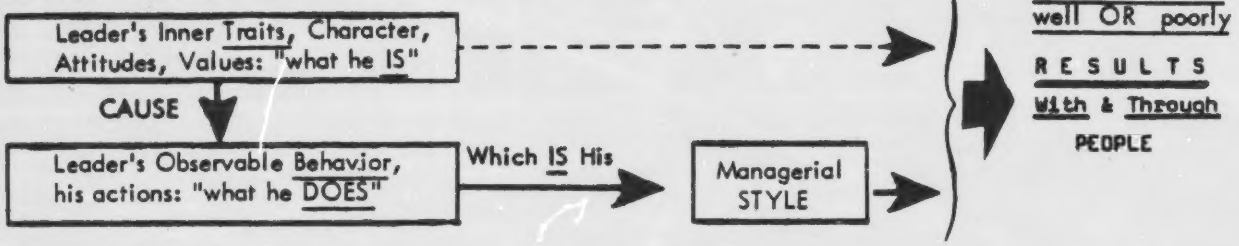
Leadership Theory

BASIC CONCEPTS

1 Trait Theory Versus Behavior Theory


which influences well OR poorly
Leader's Inner Traits, Character, Attitudes, Values: "what he IS"
CAUSE
RESULTS
With & Through
PEOPLE
Leader's Observable Behavior, his actions: "what he DOES"
Which IS His
Managerial STYLE

2 A Matrix of Leadership Styles

● 1. The Autocratic Leader: The autocrat has authority, from some source such as his position, knowledge, strength, or power to reward and punish, and he uses this authority as his principal, or only, method of getting things done. He is frankly authoritarian, knows what he wants done, and how, "tells" people what their work-assignments are, and demands unquestioning obedience. The autocrat ranges from "tough" to "paternalistic" depending on how much he stresses, as motivation, threat and punishment in the former case or rewards in the latter. The "tough" autocrat demands and gets compliance, "or else." The "paternalistic" autocrat demands and expects compliance but mainly on a "father-knows-best" —and often very personal—relationship, implying personal dependence, rewards, and security. The autocrat permits people little or no freedom.

● 2. The Bureaucratic Leader: Like the autocrat, the bureaucrat "tells" people what to do, and how, but the basis for his orders is almost exclusively the organization's policies, procedures, and rules. For the bureaucrat, these rules are absolute. He manages entirely "by the book," and no exceptions are permitted. He treats rules and administers their force upon people as a judge might treat—and permit no departure or exception from—laws, including their every technicality. Like the autocrat, the bureaucrat permits people little or no freedom.

● 3. The Diplomatic Leader: The diplomat is an artist who, like the salesman, lives by the arts of personal persuasion. Although he has the same clear authority as the autocrat, the diplomat prefers to "sell" people and operate, as much as possible, by persuasion and broadscale individual motivation of people. He will "revert," if necessary, to the autocratic style, but prefers to avoid this. Some term him a "sell-type" leader who uses a large variety and degree of persuasion-tactics, ranging from simple explanation of the reasons for an order to fullscale bargaining with people. He will usually relate his organizational goals to the personal individual needs and aspirations of his people. Such a leader retains his authority in that he knows and will insist on a particular course of action; but, he provides some—limited—freedom to his people in that he permits them to react, question, raise objections, discuss, and even argue their side of the issue.

● 4. The Participative Leader: The participative leader openly invites his people to participate or share, to a greater or lesser extent, in decisions, policy-making and operation methods. He is either a "democratic" or a "consultative" leader.

The "democratic" leader "joins" his group and makes it clear, in advance, that he will abide by the group's decision whether arrived at by consensus or majority vote. (This style is sometimes seen in the operation of research and development groups.)

The "consultative" leader consults his people and invites frank involvement, discussion, pro and con argument, and recommendations from the group, but makes it clear that he alone is accountable and reserves the final decision to himself.

In both forms of the participative style of leadership, people are given a high degree of freedom—as they are, too, in the Free-Rein style.

● 5. The Free-Rein Leader: The "free-rein" leader (the analogy, of course, is to a horseman who has left the reins free) does not literally abandon all control. He sets a goal for his subordinate as well as clear parameters such as policies, deadlines, and budget and then drops the "reins" and sets his subordinate free to operate without further direction or control, unless the subordinate himself requests it.

3 Managers tend to (a) use one predominant style, or (b) "TOOL-BOX" it, shifting styles.

4 The "Best" Leadership Style

DEPENDS ON:

(a) the individual personality of the manager himself ("Trait theory" revisited);

(b) the individual followers, the kind of people they are and the kind of work they do;

(c) and, the particular situation and circumstances on any given day or hour.

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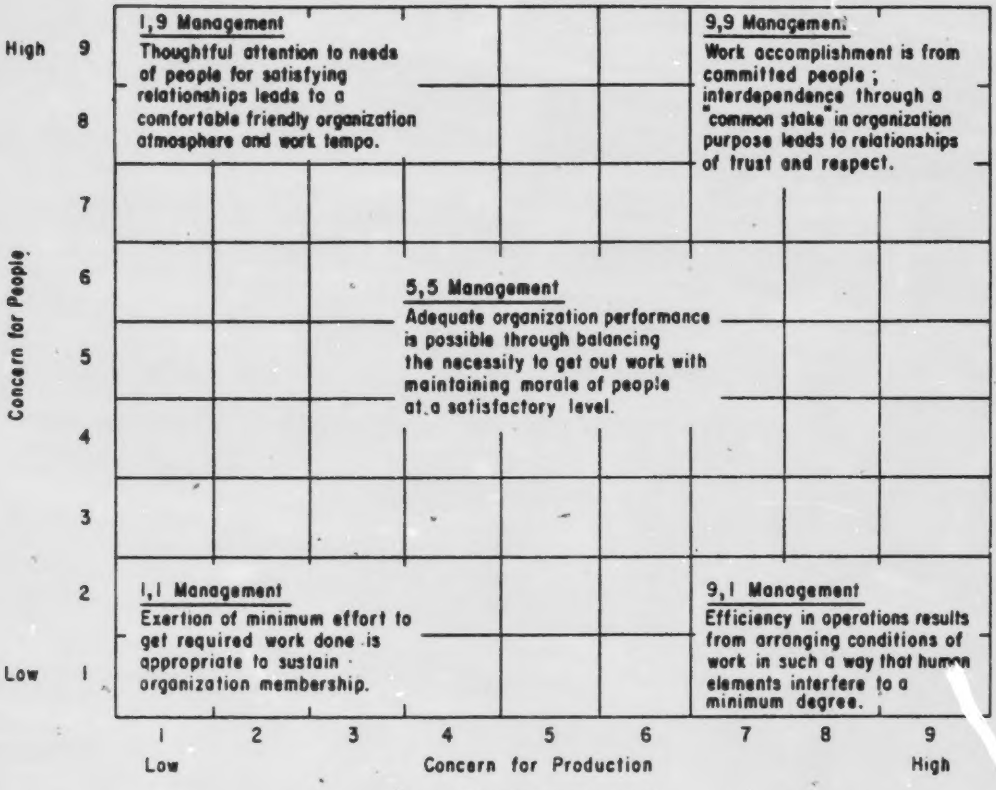
THE MANAGERIAL GRID



1,9 Management
Thoughtful attention to needs of people for satisfying relationships leads to a comfortable friendly organization atmosphere and work tempo.

9,9 Management
Work accomplishment is from committed people; interdependence through a "common stake" in organization purpose leads to relationships of trust and respect.

5,5 Management
Adequate organization performance is possible through balancing the necessity to get out work with maintaining morale of people at a satisfactory level.

1,1 Management
Exertion of minimum effort to get required work done is appropriate to sustain organization membership.

9,1 Management
Efficiency in operations results from arranging conditions of work in such a way that human elements interfere to a minimum degree.

The Managerial Grid

(After Blake & Mouton, 1964)

"A MAN'S PERSONAL PHILOSOPHY, HIS WAY OF LOOKING AT THE WORLD AND THE MEN AND WOMEN AROUND HIM, DETERMINES HIS SUCCESS AS A MANAGER OF THINGS AND PEOPLE MORE THAN ANY OTHER SINGLE FACTOR. HIS BASIC ATTITUDES ARE FAR MORE SIGNIFICANT THAN THE TECHNIQUES HE USES. . . . . AS WE LOOK AHEAD, WE HAVE REASON TO BELIEVE THAT THIS WILL BE INCREASINGLY TRUE."

Dean Teele, Harvard Business School

motivation

THE CLASSIC THEORIES AND MODELS

1 THE MASLOW HIERARCHY OF HUMAN NEEDS (1955)

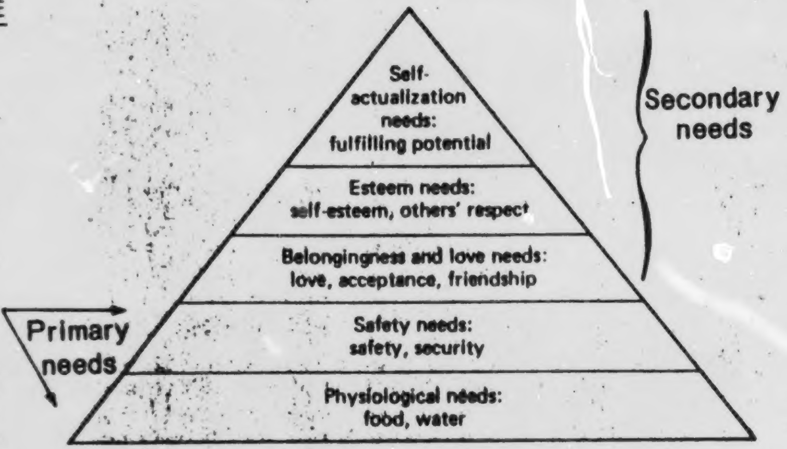
THE MASLOW MODEL CLASSIFIES ALL HUMAN NEEDS INTO FIVE CATEGORIES, SOME PRIMARY AND SOME SECONDARY:

1 BASIC NEEDS: human physiological needs such as hunger, air to breathe, thirst, rest, health, relief from pain.
2 SAFETY: the need for security, protection against all dangers and threats to life and health, future security.
3 BELONGINGNESS: the need for social life, association with others, loving and being loved, friendship.
4 EGO-STATUS: the need for recognition, attention, respect and esteem from others, sense of importance.
5 SELF-ACTUALIZATION: the need for self-fulfillment, personal worth and value, realization of life-goals.

o People generally strive to satisfy first the primary needs (BASIC and SAFETY). After the primary needs are reasonably satisfied, motivation occurs only at the secondary-need level, appealing to a person's needs for Ego-Status, Recognition, self-realization..

o "A SATISFIED NEED IS NOT A GOOD MOTIVATOR!!!!!!!!"

Maslow's Hierarchy of Needs


Self-actualization needs: fulfilling potential
Esteem needs: self-esteem, others' respect
Belongingness and love needs: love, acceptance, friendship
Safety needs: safety, security
Physiological needs: food, water
Secondary needs
Primary needs

2 McGREGOR'S THEORY X + THEORY Y MODEL (1960)

THEORY X ASSUMES THAT

o PEOPLE DISLIKE WORK AND WILL TRY TO AVOID IT IF THEY CAN.
o THUS, A MANAGER MUST GET PEOPLE TO WORK BY THREAT, COERCION, TIGHT CONTROL, PUNISHMENT AND EVER-VIGILANT "SUPERVISION."
o PEOPLE NATURALLY AVOID RESPONSIBILITY.

THEORY Y ASSUMES THAT

o "WORK" IS AS NATURAL AND DESIRED BY THE HUMAN BEING AS EATING, REST OR PLAY.
o PEOPLE LIKE WORK, PROVIDING THAT, FROM AND THROUGH IT, THEY GAIN PERSONAL SATISFACTION OF THEIR NEEDS FOR RECOGNITION, EGO-STATUS, SELF-ACTUALIZATION.

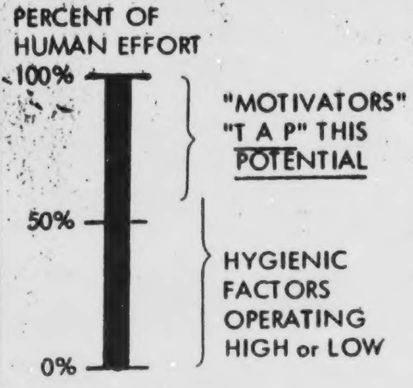
3 THE "MOTIVATION - HYGIENE" MODEL (HERZBERG, ET. AL. 1965-70)

RESEARCH STUDIES BY HERZBERG, MYERS (see, for example, Harvard Business Review, Jan. 1964), AND MANY OTHERS SUGGEST THAT PEOPLE WORK HARD AND ENTHUSIASTICALLY ONLY WHEN INFLUENCED BY "MOTIVATORS.": "MOTIVATORS," "SATISFIERS," "DRIVE" are as follows

MOTIVATORS

MOTIVATION FACTORS (JOB CONTENT)	HYGIENE FACTORS (JOB ENVIRONMENT)
SATISFIERS	DISSATISFIERS
Work Itself	Company Policy & Administration
Achievement	Supervision
Recognition	Working Conditions
Responsibility	Interpersonal Relations
Growth and Advancement	Salary

HYGIENIC



TWELVE SPECIFIC WAYS TO MOTIVATE PEOPLE

1. Most importantly: it is always the INDIVIDUAL, in a here-and-now situation, that is to be motivated. You cannot even begin to motivate people unless you take the time and interest to get to know them as individuals.

2. Find ways to re-structure the job, "enlarge" or "enrichen" it, in order to make the job itself more interesting to the worker.

3. Rotate people's jobs and change the job or its environment.

4. Find ways to offer people more IMPORTANT, CHALLENGING and INTERESTING assignments.

5. PRAISE people for work well done (many managers are too "busy" or thoughtless to do this and, instead, just take people and work for granted).

6. Provide people the opportunity to discuss and PARTICIPATE in plans and decisions which will affect them.

7. Demonstrate genuine and sincere personal interest in, and respect for, them.

8. Provide people opportunities for training and personal, and career, growth.

9. Explain the reasons for, and the IMPORTANCE of, every job.

10. Encourage a friendly social "group atmosphere."

11. Help people develop a high personal and professional PRIDE in their work, especially its quality and its value.

12. Provide people clear, specific and reasonable job GOALS.

DO YOU
PRACTICE THESE
MODERN MANAGERIAL
HABITS?

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MANAGEMENT COMMUNICATIONS IN SPECIAL LIBRARIES

SELECTED CASE STUDIES

1. ASK AND. . .?

Jerry was enjoying his new job as head of a small information center in a large public interest group. One of his responsibilities was statistical and other internal information needs as well as the distribution of reports to many levels of management. Timeliness of these reports was of the essence and deadlines had to be met. Which was Jerry's problem. His reports were based mainly on data and information derived from the other departments of the organization. Although Jerry had no line authority over any of the managers in the other departments, his performance depended entirely on their cooperation.

For example, he was currently blocked on a management information report, with the deadline almost upon him, because many managers had not returned completed questionnaires (despite clearly stated deadlines) any many of the questionnaires which had been returned appeared to his as inaccurate and exaggerated if not virtually falsified. The report was a semi-annual report used to assess each department's current and future management information requirements. Naturally, too, this report was an important input into the organization's management information system.

2. LAURA KEMPER

Mr. Dunn walked into his office one morning and found a letter in his in-basket which, below appropriate date and letter headings, read as follows.

Dear Mr. Dunn:

I received the shock of my life yesterday. Mr. Hayes, my boss, told me he was preparing the necessary papers to effect my dismissal. I was so stunned that I can hardly remember the rest of the conversation.

Of course, I asked him why. He told me that I was habitually late for work in the morning, that I had been warned a number of times to arrive on time or face dismissal, that he would not tolerate lateness for any reason. All of which is true, except that my lateness amounts to about 20 minutes on about two days a week. I hate to go over his head to you, his boss, but I am desperate.

Mr. Dunn, you do not know me well and let me give you some background on this. I am absolutely dedicated to my job. I thank God everyday for my job and Mr. Joseph (Mr. Hayes' predecessor, recently promoted to head another section of the library) who hired me three years ago, a year after my husband died. I am 46 years old. Where could I get another job now? I type faster, more accurately and waste less time in the office than anyone in the office. I often work through coffee breaks and even part of mu lunch hour to make up any time I owe the company because of my occasional lateness. I have been, and still am, the sole support of my three children. I am not like so many of these young clerical girls -- there are twelve in our office -- who waste time every chance they get and seem to be interested only in who is looking them over and trying to date them. I work hard and am glad to. The company has been good to me, providing my job and, in appreciation, I really try to produce. Mr Hayes admitted that I do more and better work than any of the others by far, even though I am sometimes late because something unexpected happens in getting the kids off to school. his never bothered Mr. Joseph. In fact, he often complimented me (and put it in writing for the Personnel files for my last pay raise) and

LAURA KEMPER (cont)

simply asked me to do the best I could about the lateness.

I am not asking for any favors. You have every right to expect a fair day's work from me for a fair day's pay, no matter what my personal problems might be. I understand this. And, believe me, I give that and more. Just ask Mr. Joseph. I simply can't help breaking the office time schedule occasionally but I do make up for it in getting the work out. I explained all this, every time Mr. Hayes warned me, but all he said was that he will not tolerate lateness. His last warning was in writing but I simply cannot believe he would fire me.

Please do something.

Sincerely,
Laura Kemper

3. THE DEPARTMENT OF BUREAUCRACY LIBRARY

The Department of Bureaucracy Library was a large federal library and generally regarded as a healthy and efficient organization with a high level of productivity, enthusiasm and morale. The pace was fast and people did not waste time.

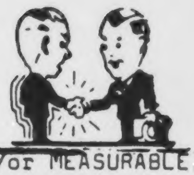
Over the current year, however, communication problems developed and reached a dangerous level, causing errors, work which had to be discarded to re-done, a general breakdown in coordination, and a number of personal frictions. The main manifestations of the communication failure were: 1) Top-level managers, communicating broad goals and policy, were not being properly understood at the operating level. Mid-level managers, on the other hand, felt that top management was planning and communicating in a vacuum with what was apparently a lack of relevant and realistic information about the operating levels. Lower-level managers, especially in the technical services and acquisitions departments, often discovered their departments operating either at cross-purposes, or irrelevantly (duplicating work, for example), or with little coordination. 2) Often, key people at the operating levels did not "get the word" at all or got it indirectly, through informal channels, accidently and too late. 3) There were many instances of functional departments, at or near the operating levels, misunderstanding each other. For example, the personnel department performed a lengthy study for the reference department and discovered it was not at all the kind of report that would meet that department's goals. The report was politely accepted and filed away. A new on-line reference service required a major assist from the computer services center and never really got what it needed. Each functional department seemed to have its own technical language, fargon and preconceived viewpoints which rendered cross-departmental communication difficult--and often a failure. Clearly something had to be done.

4. THE WELLINGTON LIBRARY

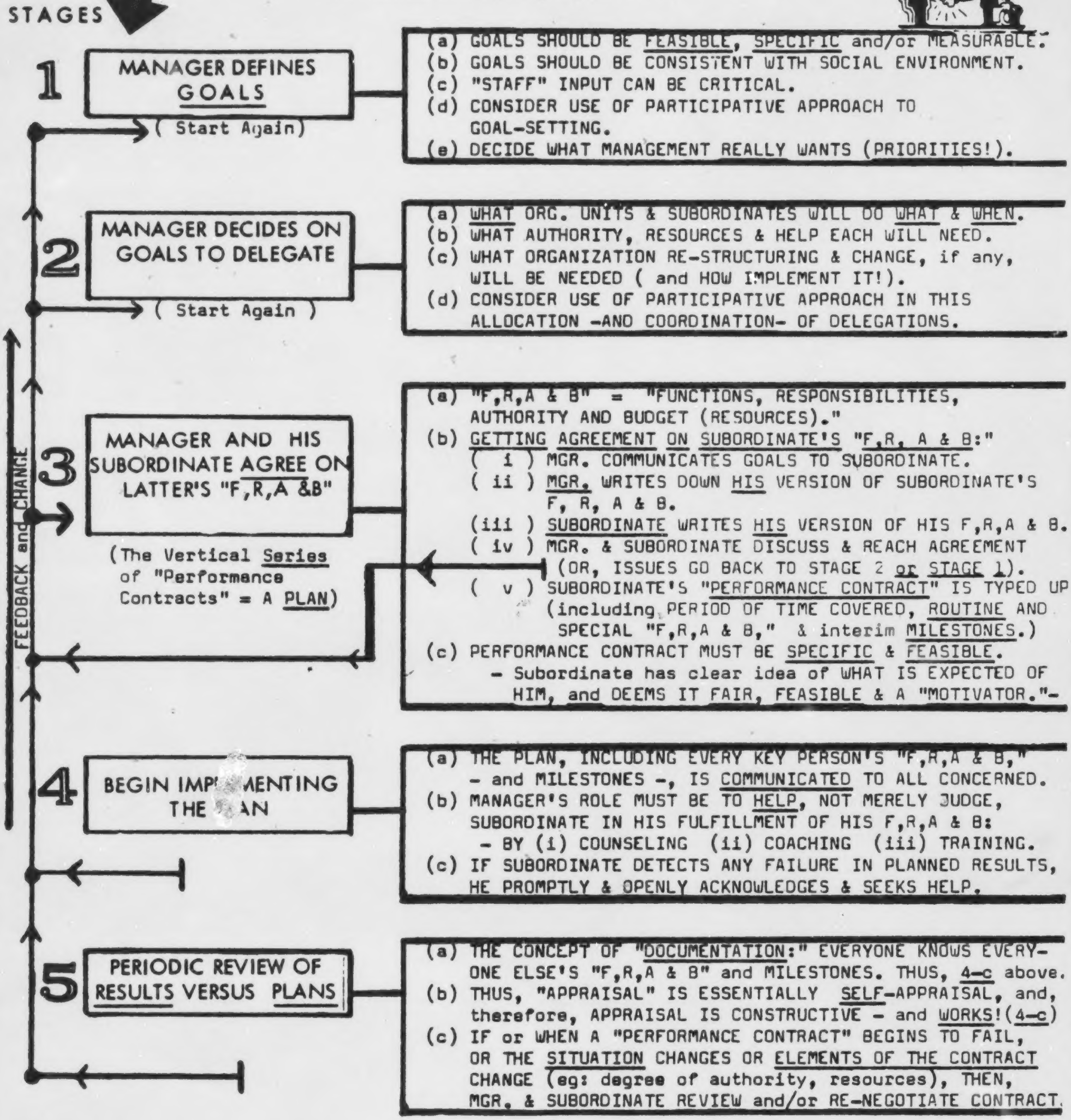
Nicky Graham was completing her first year as section head of the library's technical services section. Nicky, age 31 and married, was herself a librarian, and this was her first managerial job. By her own and others' evaluation, she had performed fairly well but not excellently in her first year as a manager. Her main problem was morale and people. She supervised six librarians, who had of course been her peers, and several clerical people. One of her catalogers, Ralph, was four years from retirement, in fine health, highly competent, friendly but obviously "coasting" and working at only a fraction of his real capability. Nicky had done little about this because she had had no clear idea how to reach Ralph or motivate him to a higher level of productivity. Nicky found the situation very awkward: she enjoyed the responsibility for the technical and challenging tasks of her section but found "people" problems, such as Ralph, most uncomfortable. Nicky knew too that she had a tendency to evade these problems rather than confront them.

Another, and serious, problem in her section was Jack. Jack was several years older than Nicky and it was an open secret that Jack wanted and thought he deserved the promotion which Nicky received instead. Over the past year, however, Jack had made no trouble and was, to all appearances, polite. The chief problem with Jack was an obvious and sharp decline in his productivity over the past year as well as in the quality of his work. Nicky had talked to Jack about the problem virtually not at all. Also, it seemed to her that these problems would become worse, especially in their effect upon two young catalogers who complained to Nicky about distribution of their section's workload, the boring nature of the work assigned them, and Jack's and Ralph's slow-down.

MANAGEMENT BY OBJECTIVES



THE MANAGEMENT-BY-OBJECTIVES CYCLE



1 MANAGER DEFINES GOALS

(a) GOALS SHOULD BE FEASIBLE, SPECIFIC and/or MEASURABLE.
(b) GOALS SHOULD BE CONSISTENT WITH SOCIAL ENVIRONMENT.
(c) "STAFF" INPUT CAN BE CRITICAL.
(d) CONSIDER USE OF PARTICIPATIVE APPROACH TO GOAL-SETTING.
(e) DECIDE WHAT MANAGEMENT REALLY WANTS (PRIORITIES!).

2 MANAGER DECIDES ON GOALS TO DELEGATE

(a) WHAT ORG. UNITS & SUBORDINATES WILL DO WHAT & WHEN.
(b) WHAT AUTHORITY, RESOURCES & HELP EACH WILL NEED.
(c) WHAT ORGANIZATION RE-STRUCTURING & CHANGE, if any, WILL BE NEEDED (and HOW IMPLEMENT IT!).
(d) CONSIDER USE OF PARTICIPATIVE APPROACH IN THIS ALLOCATION -AND COORDINATION- OF DELEGATIONS.

3 MANAGER AND HIS SUBORDINATE AGREE ON LATTER'S "F,R,A &B"

(The Vertical Series of "Performance Contracts" = A PLAN)

(a) "F,R,A & B" = "FUNCTIONS, RESPONSIBILITIES, AUTHORITY AND BUDGET (RESOURCES)."
(b) GETTING AGREEMENT ON SUBORDINATE'S "F,R, A & B:"
  (i) MGR. COMMUNICATES GOALS TO SUBORDINATE.
  (ii) MGR. WRITES DOWN HIS VERSION OF SUBORDINATE'S F, R, A & B.
  (iii) SUBORDINATE WRITES HIS VERSION OF HIS F,R,A & B.
  (iv) MGR. & SUBORDINATE DISCUSS & REACH AGREEMENT (OR, ISSUES GO BACK TO STAGE 2 or STAGE 1).
  (v) SUBORDINATE'S "PERFORMANCE CONTRACT" IS TYPED UP (including PERIOD OF TIME COVERED, ROUTINE AND SPECIAL "F,R,A & B," & interim MILESTONES.)
(c) PERFORMANCE CONTRACT MUST BE SPECIFIC & FEASIBLE.
  - Subordinate has clear idea of WHAT IS EXPECTED OF HIM, and DEEMS IT FAIR, FEASIBLE & A "MOTIVATOR."-

4 BEGIN IMPLEMENTING THE PLAN

(a) THE PLAN, INCLUDING EVERY KEY PERSON'S "F,R,A & B," - and MILESTONES -, IS COMMUNICATED TO ALL CONCERNED.
(b) MANAGER'S ROLE MUST BE TO HELP, NOT MERELY JUDGE, SUBORDINATE IN HIS FULFILLMENT OF HIS F,R,A & B:
  - BY (i) COUNSELING (ii) COACHING (iii) TRAINING.
(c) IF SUBORDINATE DETECTS ANY FAILURE IN PLANNED RESULTS, HE PROMPTLY & OPENLY ACKNOWLEDGES & SEEKS HELP.

5 PERIODIC REVIEW OF RESULTS VERSUS PLANS

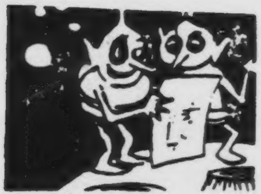
(a) THE CONCEPT OF "DOCUMENTATION:" EVERYONE KNOWS EVERYONE ELSE'S "F,R,A & B" and MILESTONES. THUS, 4-c above.
(b) THUS, "APPRAISAL" IS ESSENTIALLY SELF-APPRAISAL, and, therefore, APPRAISAL IS CONSTRUCTIVE - and WORKS!(4-c)
(c) IF or WHEN A "PERFORMANCE CONTRACT" BEGINS TO FAIL, OR THE SITUATION CHANGES OR ELEMENTS OF THE CONTRACT CHANGE (eg: degree of authority, resources), THEN, MGR. & SUBORDINATE REVIEW and/or RE-NEGOTIATE CONTRACT.

WORKSHOP: PARTICIPANTS FORM PAIRS AND

1. Perform Stages 1 and 2 with an "on-the-job" "goal," one participant helping the other; and then the roles are reversed.
2. Analyze how they will perform Stage 3 with a subordinate at home, problems to be anticipated, and possible solutions, each participant in the pair helping the other.

PAGE TWO

MANAGEMENT BY OBJECTIVES



CONDITIONS AND CAUTIONS REGARDING M.B.O. PROGRAMS

1. WHY AN M.B.O. PROGRAM AT ALL?

TYPICAL REASONS WHY MANAGERS INSTALL AN M.B.O. PROGRAM:

(a) TO DEFINE AND/OR QUANTIFY GOALS AS STANDARDS FOR BETTER EMPLOYEE PERFORMANCE EVALUATION.

(b) TO ACHIEVE TIGHTER CONTROL IN A FRANKLY AUTOCRATIC OR "THEORY X" SITUATION.

(c) TO REQUIRE MANAGERS AT EVERY LEVEL TO DEFINE EXACTLY WHAT THEY INTEND TO ACCOMPLISH, HOW THEY PLAN TO REACH THEIR GOALS - AND WHEN,- and SPECIFICALLY; THUS, PLANNING AND DECISION-MAKING BECOME COORDINATED THRU ALL LEVELS WITH FOCUS ON GOALS TO BE REACHED AND MEANS BY WHICH TO REACH THEM.

(d) TO IMPROVE SYSTEMATIC EVALUATION OF OVERALL ORGANIZATIONAL EFFECTIVENESS; TO EVALUATE WHETHER OR HOW ACTUAL & PROPOSED ACTIVITIES CONTRIBUTE TO THE ORGANIZATION'S REAL GOALS. (LIKE "PPBS" & "PERT")

(e) TO INTRODUCE AN "O.D." ("ORGANIZATIONAL DEVELOPMENT") INTERNAL ENVIRONMENT; TO REPLACE THEORY "X" WITH THEORY "Y" AND "PARTICIPATIVE" MANAGEMENT, & TEAM-WORK.

2. MANY M.B.O. CONSULTANTS SAY THAT M.B.O. BECOMES MERELY A GIMMICK OR SLOGAN IN MANY ORGANIZATIONS UNLESS 1-e (above) IS ACCOMPLISHED; THAT, INDEED, 1-a, c & d (above) WILL NOT HAPPEN UNLESS 1-e IS A GENUINE PART OF THE M.B.O. PROGRAM.

(SEE STAGES 3, 4 & 5 WHERE OPENNESS, HONESTY, RISK-TAKING & TRUST ARE CENTRAL.)

FOR EXAMPLE:

(a) If a subordinate feels threatened and insecure or salary and promotions are blindly tied to short-term quantified results, he will set low Stage 3 goals and take few risks, especially if his manager uses goals & failure punitively (instead of helpfully as in Stage 4 - b and 5 - c).

(b) Unless team-orientation becomes a group norm and is rewarded, people will optimize results at their own level, compete destructively among eachother, and thus work against organization-wide (M.B.O.) objectives. Thus, individual efforts should not be over-emphasized; rewards might, for example, be based also on the performance of his department, the division and the overall organization.

3. TYPICAL PROBLEM-AREAS IN M.B.O. PROGRAMS:

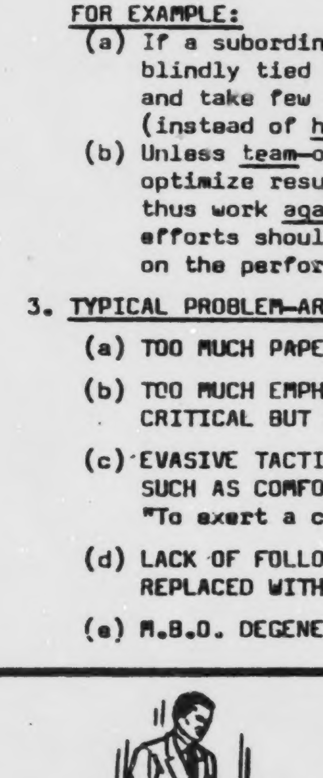
(a) TOO MUCH PAPERWORK AND "BUSY-WORK" FOR ITS OWN SAKE.

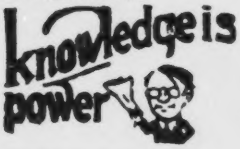
(b) TOO MUCH EMPHASIS ON QUANTIFIABLE & MEASURABLE ELEMENTS, THUS IGNORING MORE CRITICAL BUT QUALITATIVE AND HARD-TO-MEASURE ELEMENTS. (Eg: "STAFF" WORK)

(c) EVASIVE TACTICS BY MANAGER AND/OR SUBORDINATE IN STAGE 3 - b (SETTING F,R,A & B) SUCH AS COMFORTABLE AND GENERALIZED GOALS ("to perform all duties well" - or - "To exert a concentrated effort for superior quality control" - etc.).

(d) LACK OF FOLLOW-THROUGH: GOALS ARE SET WITH GUSTO - AND THEN FORGOTTEN, OR REPLACED WITH EXCUSES (STAGE 5 - c IS IGNORED).

(e) M.B.O. DEGENERATES INTO A MERE SYMBOL OR SLOGAN, WITH NO REAL COMMITMENT.





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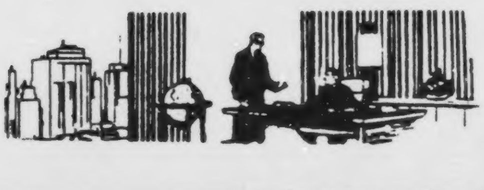


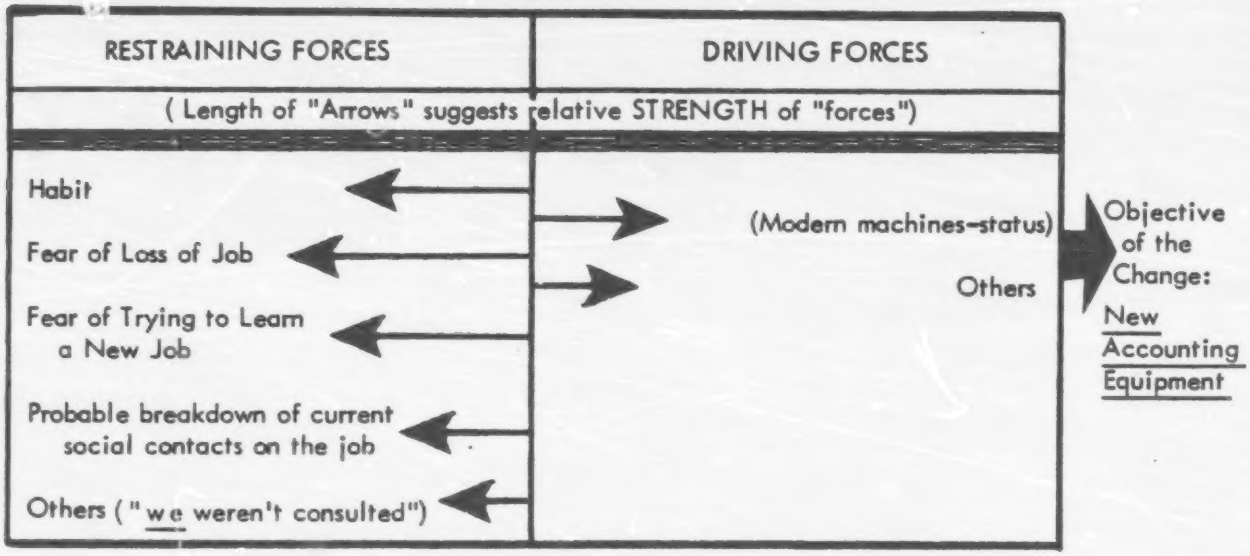
Introduction of Organizational Change

1 FORCE FIELD ANALYSIS: An analytical method for

- o Identifying specifically elements of any change
- o Evaluating elements which cause resistance
- o Evaluating elements which promote acceptance
- o Identifying Benefits of the change
- o Determining ways to reduce resistance and promote acceptance of the change

A FORCE FIELD

(Representing "forces" felt by people confronting an inevitable or planned change)


RESTRAINING FORCES
DRIVING FORCES
(Length of "Arrows" suggests relative STRENGTH of "forces")
Habit
Fear of Loss of Job
Fear of Trying to Learn a New Job
Probable breakdown of current social contacts on the job
Others ("we weren't consulted")
(Modern machines–status)
Others
Objective of the Change:
New Accounting Equipment

MANAGERS CAN IMPROVE PEOPLE'S ACCEPTANCE OF CHANGE AND MINIMIZE THEIR RESISTANCE TO CHANGE BY:

1 Adding to or Increasing DRIVING FORCES (eg: the change will provide promotion chances)

2 Eliminating or Decreasing RESTRAINING FORCES (eg: social groups will not be disturbed)

Note: Although many RESTRAINING FORCES are quite real in their basis, many such restraining forces (if not MOST) are IMAGINARY and grow to great strength only on "imagined" fears IN THE ABSENCE OF HARD AND VALID INFORMATION. Thus, managers can easily eliminate such restraining forces by SIMPLY INFORMING people that, for example, there will be no loss of jobs etc.

2 FUTURE TRENDS REQUIRING CHANGE IN OUR ORGANIZATION

A. Change in the social, technological, political and other environments of the organization is increasing at an ever–accelerating pace forcing an organization itself to change (adapt) or become obsolete. Consider, for example, revolutionary changes such as the computer, television, the changing value systems of youth, consumerism, and see Tofler's Future Shock.

B. GROUP EXERCISE: In groups of four to seven persons, each group develop a report on:

WHAT MAJOR CHANGES IN THE ORGANIZATION'S ENVIRONMENTS, INFLUENTIAL UPON THE ORGANIZATION, DO YOU SEE OVER THE NEXT FIVE YEARS? WHAT PROBLEMS WILL SUCH CHANGE CAUSE THE ORGANIZATION AND YOURSELF? WHAT CHANGES MIGHT IT CAUSE IN THE ORGANIZATION?

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SERENDIPITY RESEARCH COMPANY LIBRARY IN-BASKET CASE

The Serendipity Research Company has been in existence for thirty years and now has three libraries: a main library and two large branches, the Northern Branch and the Southern Branch. Excepting managers, the main library employs 27 people, the Northern Branch 21, and the Southern Branch 17. Serendipity has a unique and extensive collection of valuable and hard-to-find reports and documents. Consequently, Serendipity receives a significant number of interlibrary loan requests from both public and special libraries. Its past policy has been to be as responsive as possible to these requests. Virtually all employees, most of whom have worked at Serendipity for many years, are technicians, secretaries, interlibrary loan librarians, reference librarians, catalogers, etc. supporting the library's major functions as charted in the attached Organization Chart of SRC.

Three years ago, the Northern Branch Library was acquired when SRC purchased a smaller research company from Alvin Kiley, age 48, through contract stipulating that Mr. Kiley was to remain as Head Librarian of the Northern Branch for a four-year minimum period, salary to be negotiated annually. Mr. Kiley has an MLS and had been personally managing his company's library.

You are to assume that you are Edna King, Head of Library Operations, arriving at your office October 8, 1974, a Tuesday, at 9:00 AM, after having been out of your office (for out-of-town business meetings) for six days. You actually left your office for the airport at 2:00 PM, Wednesday, October 2, 1974. Because you are scheduled for a 10:00 AM meeting on October 8, you have one hour to work through your in-basket. All in-basket items are in chronological order exactly as they arrived, "Item #1" being on top of the pile and the most recent item to arrive in the in-basket. Since complete information about SRC cannot be supplied here, you are to make reasonable assumptions regarding any incomplete data. Please note, in the space provided at the right of each Item (or on note paper), the action you will take, the priority you assign to the Item (what you will do first), and your reasons why.

IN-BASKET ITEMS	YOUR ACTIONS
ITEM #1: To Ms. King, Head of Library Operations 10/2/74 From Carl Foley, Head ILL Librarian I dislike bringing this up again, Edna, but the interlibrary loan people at both branches are making a large number of loans without consulting our office. I know the library is supposed to be decentralized and the ILL librarians at both the main office and the branches have wide authority to act, but many of these loans (already made) are not	

IN-BASKET ITEMS	YOUR ACTIONS
ITEM #1 (cont'd) returned--and some involve valuable items. Main office ILL loan people are no problem (they are in our office on almost all non-routine applications). The problem is with the branch people. I have asked before--and now again--that you urge the ILL people to consult us. That's why we're here.	
ITEM #2: To Mr. Dunn, Branch Libn, Main Branch Copy: M . King (10/2/74) From Melvin Jones, Technical Services, Main Branch I am again experiencing a rash of missing and misplaced records in our files. I was away from my office Thursday and Friday on personal business and, upon returning, discovered some of these errors. Please notify all employees not to remove files from this office when I am unavoidably absent. Ms. King will be interested in this because a recent request of hers for a record became a crisis (we couldn't locate it).	
ITEM #3: To Edna King (10/7/74) From Collins I phoned you Thursday on an urgent matter. You never returned the call! Last Thursday, Carl Foley spent a full hour with me criticizing ILL practices in the branches--and he had excellent examples for his case. What he wanted was a decision from me that, in principle, branch ILL people check with his office, in writing, on all loan requests which are other than routine. I wanted to discuss this with you before acting. Lacking your input, however, I have gone ahead and approved Foley's proposal. It is now policy.	
ITEM #4: To Ms. King (10/7/74) From Sue Hart Mr. Dunn's wife phoned. Mr. Dunn has a fever, is down with the flu and will not be able to return to the office until Thursday, maybe even Friday.	
ITEM #5: To Ms. King (10/7/74) From Sue Hart At about 2 PM today I received word that my father had been taken to the hospital for emergency surgery. I'm flying out on a 5:00 PM flight and may not be back until Thursday or Friday. I made arrangements with the "pool" dispatcher to have a replacement secretary here by 10:30 AM tomorrow. Please confirm with the dispatcher.	

IN-BASKET ITEMS | YOUR ACTIONS

ITEM #6: To Ms. King DATE: Oct. 4, 1974
From Wm. Dunn, Branch Librarian, Main Branch

Paul Lane tells me that a library, whose ILL request he turned down, applied again at the Northern Branch and got the item there. Paul says he felt like a fool when the borrowing library told him about it and wanted an explanation. It was obvious, too, that Northern people never knew we had refused the loan! This is not the first time this kind of thing has happened and it seems to me that we should discuss it and find ways to prevent it.

DATE: Oct 1, 1974
ITEM #7: To Ms. King, Head Library Operations
From Barbara Miller, Branch Librarian, Southern Branch

I heard today, quite by accident, that new desks were authorized and installed in the Northern Branch several weeks age. Although it is not a major issue, our request for new desks was submitted long before Mr. Kiley's - and our desks are several years older. I might add that we are still waiting approval for a magnetic typewriter while Northern had theirs installed several months ago. Incidentally, this is still another case of getting the information through the "grapevine". (We didn't even know about the new Computer Services Librarian until we saw it in the newspaper) I would appreciate it if you would look into these matters and phone me as soon as you can.

ITEM #8: To Ms. King Copy: Mr. Collins DATE: Oct. 4, 1974
From Donald Cole, Head, Technical Services

Last month's error report indicates that the technical services assistants at the Northern Branch are still averaging a significantly higher error rate in card filing than either the Main Branch or the Southern Branch. You asked me to keep you posted. Needless to say, something must be done about this. Mr. Collins is very interested; hence the copy.

ITEM #9: To Ms. King, Head Library Operations DATE: Oct. 4, 1074
From Carl Foley, Head ILL Librarian

Jim Bell and I will be flying to Chicago Monday, Oct. 7, on business and we will return Thursday morning, Oct. 10. It seems to us, and Bob Rivers agrees, that the rates of loss on ILL's and late returns (for both special and public library loans) at the Northern Branch have become alarmingly high. We are very anxious to see you about this. Willnext Thursday in your office at 11:00 be OK?

ITEM #10: To Ms. King, Head Library Operations DATE: Sept.30,1974
From Barbara Miller, Branch Librarian, Southern Branch

I just finished reading your annual report to Mr. Collins and noted, of course, the reference to the Southern Branch's "consistently high morale level and very low personnel turnover." However, I was very surprised at (and do not understand) the optimistic reference to an "expected higher service level" for the branch. I thought our present service level was excellent. Do you have goals and expectations for our

IN-BASKET ITEMS	YOUR ACTIONS
ITEM #10 (cont'd) branch of which I am unaware? I think we should discuss this at your earliest convenience.	
ITEM #11 To Ms. King From Sue Hart (10/4/74) Your schedule of meetings for Oct. 8 is as follows: 10:00 AM is Mr. Dunn's staff meeting (Dunn, Hayes, Wells, Jones and yourself) in Mr. Dunn's office; at 12:00 you have Mr. Bush and Ms. Lee scheduled for lunch; at 1:00 PM is the Executive Committee meeting (Mr. Collins and all section heads -ILL's, Library Operations, Technical Services- and branch librarians), agenda being review of current organizational structure (detailed agenda is attached);a Mr. Allen Starr is on your calendar for 3:30 PM.	
ITEM #12 To ALL EMPLOYEES - An Announcement October 3, 1974 From Donald Cole, Head, Technical Services We are pleased to announce the purchase of new computer equipment for circulation and record keeping functions at all three branches. The new equipment and new systems will be installed about mid-November. Training in the use of the new equipment and systems will commence at that time with trainers provided by the supplier. I am sure all in the library will be happy with our new services.	
ITEM #13 To Ms. Edna King, Head, Library Operations Oct. 3, 1974 From Kenneth Bush, Personnel Attached are seven more applications for specific time periods for next summer's employee vacations. Mr. Dunn and the branch librarians have approved these schedules for their people. I've checked them and they are quite routine. Unless you have any questions, please add your signature to mine and return to me. Thank you. Ken.	
ITEM #14 To Ms. King Oct 3, 1974 From Wm. Dunn, Branch Librarian, Main Branch Jack Wells informs me that we will lose a very good reference librarian, Marie Cutler, unless we can find a way to raise her salary somehow. Marie was hired just after the last general salary raise and, in my opinion, a slight raise for her would not be out of line. She is very anxious to see you about it. Could you make arrangements to see her briefly?	
ITEM #15 To Ms. King From Sue Hart (10/3/74) Mr. Collins phoned and asked that you return his call as soon as you can.	
ITEM #16 To Ms. King, Head Library Operations DATE: Oct. 2, 1974 From Carl Foley, Head, ILL's The Northern Branch loaned a valuable report to the Assn. of Pet Food Manufacturers Library almost two months ago, despite my strong recommendations not to loan the item. Jim Bell learned, quite by	

IN-BASKET ITEMS | YOUR ACTIONS

ITEM #16 (cont'd)
accident (in a telephone conversation with the Northern ILL librarian), that the library is now three weeks late returning the report. Fred Long finds that the APFM library is notoriously bad about returning ILL's. I thought you would want to know about this.

ITEM #17 To Edna King DATE: Oct. 2, 1974
From Collins

Please handle the attached complaint letter I received from Al Starr. He is a very important researcher with the company and is irritated at the length of time he has to wait for a report he requested here at the main branch. I suggested he contact you.

ITEM #18 To Ms. King DATE: Oct. 3, 1974
From Wm. Dunn, Branch Librarian, Main Branch

Bill Hayes just burst into my office with the Technical Services Librarian's October 3 Announcement. His staff have read it and are in a panic. Will this "new system" involve any layoffs or upgrading of personnel qualifications? Who will be affected and how? Will wage scales be affected?

I am sure the branches have not yet received the Announcement but Bill knows that one of his employees phoned Northern and the "grapevine" is humming. Please telephone me with some information as soon as possible. I'm sure you'll hear from Miller and Kiley too.

ITEM #19 To King Sept. 27, 1974
From Kiley, Northern Branch

There's a rumor here that changes in employee benefits will be implemented soon. As usual, we've heard nothing from Bush. Is it true? My people are edgy about this.

ITEM #20 To Ms. King, Head Library Operations Sept. 26, 1974
From Barbara Miller, Branch Librarian, Southern Branch
The Personnel Office assigned us a newly-hired reference assistant to replace Joyce Colvin when she left. The new assistant, Julia Talbert, is someone I would not have hired if I had had any part in the decision. I think we need a policy permitting Branch Librarians to interview job candidates for the branches and to submit recommendations to Personnel - or make the final decision! The same kind of problem exists regarding pay raises for our people: Personnel makes the decision without even consulting us. I know Bill Dunn is concerned about this. He is having trouble holding on to an excellent new reference librarian for reasons of salary. Let's discuss it.

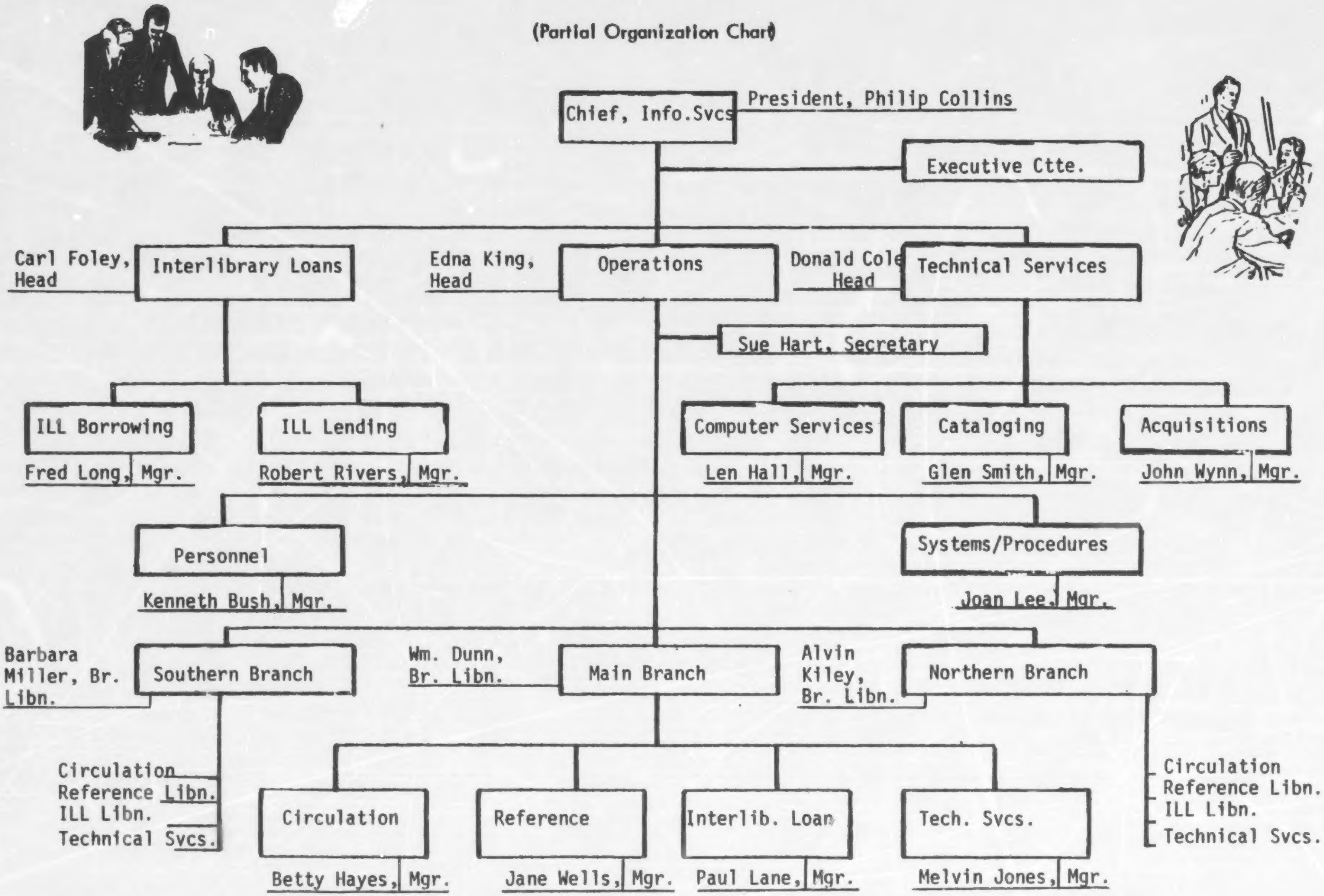
ITEM #21 To Edna King DATE: Oct. 2, 1974
From Collins

I would appreciate it, Edna, If you would handle the attached memo (Item #22) from Al Kiley. I note that you did not receive a copy! You will want to contact Carl Foley for some background on the Assn. of Pet Food Manufacturers case. Carl has become extremely interested in it.

IN-BASKET ITEMS	YOUR ACTIONS
Sept. 25, 1974 ITEM #22 To Mr. Phillip Collins, Chief of Information Services From Alvin Kiley, Branch Librarian, Northern Branch When I agreed to SRC's acquisition of my company, I was assured by you that I could run my own show, the SRC was highly decentralized. Now I find I am getting criticism from Foley's office on the Assn. of Pet Food Manufacturers loan - and others too. I've known Frank Meltzer, their librarian, for years. He's a friend and has always been completely reliable. I mention this matter expecting that your influence will eliminate such interference in the future. I think, too, that Foley should be reminded that he is a staff officer, not a line officer.	
ITEM #23 To Ms. Edna King, Head, Library Operations 10/2/74 From Joan Lee, Manager, Systems and Proceedures Our company security officer informed me today that his spot checks of the Northern Branch show that many valuable and confidential documents are being left out in the reading room. As you know many researchers from other companies use the Northern Branch to look at items in the general collection. They should not, however, have access to confidential material. This carelessness will eventually lead to the loss of important documents -- and the security officer will be held responsible. Please urge Mr. Kiley to enforce our document security procedures.	
ITEM #24 To King Sept, 25, 1974 From Kiley, Branch Librarian, Northern Branch Anticipating complaints that might reach your office, let me inform you of my new policy at Northern: I have directed my head reference librarian and other supervisors to keep daily, exact records on each employee's arrivals and departures, including coffee and rest breaks. I have become more convinced than ever that people will work as little as possible and that very close and tight supervision is the manager's only solution.	

SERENDIPITY RESEARCH COMPANY LIBRARY

(Partial Organization Chart)


Chief, Info.Svcs
President, Philip Collins
Executive Ctte.
Carl Foley, Head
Interlibrary Loans
Edna King, Head
Operations
Donald Cole Head
Technical Services
Sue Hart, Secretary
ILL Borrowing
Fred Long, Mgr.
ILL Lending
Robert Rivers, Mgr.
Computer Services
Len Hall, Mgr.
Cataloging
Glen Smith, Mgr.
Acquisitions
John Wynn, Mgr.
Personnel
Kenneth Bush, Mgr.
Systems/Procedures
Joan Lee, Mgr.
Barbara Miller, Br. Libn.
Southern Branch
Wm. Dunn, Br. Libn.
Main Branch
Alvin Kiley, Br. Libn.
Northern Branch
Circulation
Reference Libn.
ILL Libn.
Technical Svcs.
Circulation
Betty Hayes, Mgr.
Reference
Jane Wells, Mgr.
Interlib. Loan
Paul Lane, Mgr.
Tech. Svcs.
Melvin Jones, Mgr.
Circulation
Reference Libn.
ILL Libn.
Technical Svcs.

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NOTES FOR INSTRUCTORS
CONDUCTING
THE SERENDIPITY RESEARCH COMPANY LIBRARY
IN-BASKET CASE

BY: Dr. James Owens

Introduction:

This manual of notes, explaining the Serendipity Bank In-basket Case as a teaching device for management training, is for the instructor only (not program participants or trainees) and is intended to aid the instructor in conducting and processing the simulation.

for most experienced management trainers, this manual of notes is hardly necessary. The case provides a number of learnings which will be quite transparent to the experienced trainer. Thus, the purpose of this instructor's manual is to share with colleagues, using the SRC case for the first time, my own experiences with the case. It is fully expected that the reader will, and should as the situation requires, deviate from the instructions and notes below and, with experience with the SRC case, adjust its use to his or her own situation.

Ideally, the SRC case should be presented and processed with no more than twenty-five trainees at a time. Discussion, after trainees have completed their individual work, is critical and a small-group environment is, therefore, important.

Initial Instructions to Program Participants

After distributing to participants the SRC In-basket "items," along with the SRC Organization Chart, the following points should be stressed:

1. Each participant has one hour, working alone, to "work through" his in-basket.
2. Each participant is to write down, in space provided on the SRC Case sheet or on note paper, the action he will take on each item, what he will say or do regarding each item.
3. Each participant is to rank priority items, which item he will do first, second and third. There is no need to rank beyond first, second and third.
4. Insofar as each participant is assuming the role of Edna King, alone in her office, no questions are permitted.
5. Some trainers like to read the "situation" aloud (the first three paragraphs of the SRC case) before participants begin.
6. There will be a short "coffee break" after the hour's individual work is completed.

DISCUSSION PERIOD

After the "coffee break," there will be a discussion period which can run from one to two hours depending on the time available and the extent to which the trainer wishes to discuss the in-basket items. The structure and sequence of the agenda for discussion can vary but the sequence suggested below has proven very successful.

The Priority of In-basket Items

The trainer draws on the blackboard a matrix as below and then asks each participant to indicate which item he would handle first, second and third while tallying responses in the matrix. The matrix for ten participants might look as follows:

ITEM #	HANDLE "FIRST"	HANDLE "SECOND"	HANDLE "THIRD"
1			/
2		/	
3	////	//	//
4	/		
5	///	////	//
6			/
11	//	///	///
17			/

The "tally" shows that four participants would handle Item # 3 first, three would handle # 5 first and so on.

The trainer now asks one of the participants, who indicated he would handle # 3 first, why he would. The discussion should bring out the importance of "fixing" the obvious communication breakdown between King's office and Collins' with regard to King's absence and, more importantly, a discussion of what should be the proper working relationship between Sue Hart and King when the latter is out of town. Questions that might be raised:

1. Should King come into her office early at 7:00 AM or 8:00 AM, rather than 9:00 AM, after such a trip in order to get a start before the regular day begins? (she certainly should!)

2. Should King keep in telephone contact with Hart each day she is out of town? If so, she would have known about Item 15.

3. What procedures should a boss and secretary establish in order to handle the boss's job when she is out of the office?

4. What should be the role and job definition of a secretary? (Note: Participants who failed to see the priority importance of Item #3 will learn it in this discussion!) Stress, too, that one criterion of importance and priority of an in-basket item is its "age," i.e. how long it has gone without action or answer!

The trainer now asks one of the participants, who indicated he would handle # 5 first, why he would. The discussion should bring out the importance of details. For example:

1. Shouldn't King phone the dispatcher and get a secretary up to her office immediately (at 9:00 AM) to handle phone calls, take messages, etc., rather than handle it alone?

2. Most importantly, this item should raise discussion of the PROPER METHOD of going through one's in-basket. Some participants will take each item in sequence, study it, and act on it. Some will have acted on items 1 through 4 by directing Hart to do this or that--and then find, in Item 5, Hart is not there. This brings out the importance of a "skim and group" approach to an in-basket; i.e. skim the entire in-basket quickly looking for priority items and then grouping items in terms of urgency and issues.

Managerial Issues and the In-Basket Items

Depending on the time available and perference as to issues, the trainer can handle some or all of the remaining in-basket items by a general discussion of particular items selected either by the trainer or the participants; or, small groups can be formed for about one-half hour, each small group to discuss problems and recommended solutions with regard to particular issues (several popular issues, one for each group, are as follows: 1) personnel policies and practices in SRC; 2) Kiley's effectiveness as a manager and what King should do about Kiley; 3) Delegation practices in SRC; 4) Communications in SRC; 5) Leadership Style and employee morale in the Northern Branch; De-centralization in SRC is a particularly interesting issue.) After the small-group discussion, each group reports results for general discussion by the re-assembled main group.

The trainer may find useful the following classification of "issues" listing, in parentheses, the in-basket items which deal with a particular issue:

1- Leadership, Performance and Morale (8,10,23,24)
2- De-centralization (1,7,10,14,20,22)
3- Communications (1,6,7,10,19,20)
4- Delegation (2,13,14,17,21)
5- Kiley as a Manager (9,16,22,23,24)

6- Personnel Policies and Practices (12,13,14,18,19,20)
7- Control and Policy Formulation (1,3,6,8,9,16,23)
8- Planning (2,10,11)
9- Organization Structure (13,22)
10-Job Definitions and Role of Staff (1,2,11,13,18,20,23)

11-Need for Standard Operating Procedures (2,13,17)
12-The Role of the Secretary (3,4,5,9,11,15)
13-Decision-making Process (3,7,14,18, etc.)
14-Conflict (6,17,19)
15-Management by Objectives (10)
16-Handling Organizational Change (12,18,19)

Discussion of Individual In-Basket Items

If the trainer elects to discuss individual items, either instead of small-group discussion or in addition to it, the analytical points, observations and questions can be useful. Typically, the trainer will lead the discussion in such a way as to bring out himself or help participants bring out the following points and questions regarding individual items:

Item # 1

0 Note the date, Oct. 2. This is a Main branch memo which took five days for delivery. This is an isolated case of delayed mail at the Main branch unlike the generally delayed mail between Main branch and the northern and southern branches (Note dates on Items 7,10,19,20,22,and 24.)

0 This memo was written by Foley on the same day King left town at about 2:00 PM. Why didn't Foley use the telephone? The trainer can discuss here the advantages of telephone communication as immediate (no time lag) and two-way (a memo is inherently a one-way communication).

0 Foley obviously did not know King was leaving town. A telephone call, instead of the memo, would provide two-way communication feedback about the issue as well as King's whereabouts.

0 How much authority to act should the branches have? Is this even clearly defined? What should be the role and function of staff officers (Foley) in the control of loan risk? The discussion should stress:
1) the apparent vagueness or lack of policy in SRC,
2) the role of corporate staff (for example, Foley) as formulators of policy recommendations to be put into force by Collins or the Executive Committee. For example: "All loans in excess of five items must be approved by Foley's office."
3) importance of de-centralized decision-making (within policy guide-lines) to assure prompt and personal service.

Item # 2

0 For some reason, Jones has make himself or let himself become an "indispensable man." This is bad. He should delegate in such a way that others can handle movement of files in his absence.

0 Is the "copy" to King appropriate? How should a manager use "copies" and "carbons,' including "blind carbons?"

0 Stress the importance of developing Standard Operating Procedures.

Item # 3

0 Obviously a communication breakdown. With serious results, especially if the policy decision is one which hurts King's operations. (See Item 15!) Collins apparently does not know King is out of town, and communication between Hart and Collins' secretary failed to make this clear. How can this be avoided in the future?

0 Although the communication breakdown about King's absence from the office is understandable, look at the beginnings of personal irritation that could lead to a personality conflict between Collins and King ("You never returned the call")

0 Nevertheless, did Collins do the right thing in making this decision without input from King? More basically, how should decisions of this kind regarding POLICY be be made? By Collins alone? By the Executive Committee?

0 If King and Hart talked by phone every day while she was out of town, this mess would have been avoided. King would have known about it Oct. 3 (Item 15) and would have phoned Collins long distance. Stress that little details (overlooked) lead to great issues!

Item # 4

0 This item, like Item # 5, reveals the importance of a "skim and group" approach to any in-basket. That is, skim through the entire in-basket pulling out key items. Then group items by urgency and issues. Unless King used the "skim and group" approach, she may already have written directives to Dunn (and Hart) and then discover in Items 4&5 that Dunn and Hart are away.

A quick "skim" of the in-basket would show mentally the following time frame:

Oct. 2 (Wed.) King Leaves at 2:00
Oct. 3 (Thu.)
Oct. 3 (Fri.)
Oct. 5 & 6 (Weekend)
Oct. 7 (Mon.) Hart, Foley, Bell and Dunn away from office
Oct. 8 (Tue.) Hart, Foley, Bell and Dunn away from office and will be until end of week.

0 On important matters, should managers telephone people at home for information?

Item # 5

0 This raises the question of what should be the proper working relationship and "standard operating procedures" between a manager and his secretary.

0 Review notes above in Item # 3 regarding the proper role and functions of a secretary.

Item # 6

0 Again, the problem of vague policy (see Item # 1.)

0 Problem of communications and control. Should there be a system of central files and information control?

Item # 7

0 Note the date. Mail between the branches and main office is generally delayed - and seriously so.

0 How should decisions be made regarding allocation of resources? Lump sum budgeting? Policies to control and insure fairness and impartiality?

0 Another case of poor communication. Surely, the library must find ways to increase the amount and quality and speed of communication or else a growing rumor mill and "grapevine" will create havoc.

0 There is growing tension and conflict between the branches? What are the causes of it? How to handle it?

0 Discussion of the poor communication problem and the tension problem will probably lead to some of the following suggestions to improve communication:

-- A Newsletter
-- More use of carbon copies
-- More use of telephone
-- More meetings of executives from all offices to keep all informed and work through decisions valid and acceptable.

Item # 8

0 Why the quality control problems at Northern? Some hints are Items 23 and 24 regarding Kiley's leadership style and resulting morale or lack thereof.

0 Is Cole's "copy" to Collins appropriate? Should managers use the device of a "copy" to other interested executives, other than the addressee, as a means of keeping everyone informed?

0 Kiley seems to be a "Theory X" manager. See Items 23 and 24.

Item # 9

0 Again, the quality control problem at Northern.

0 Review the "policy" questions raised on page 5 related to Item # 1.

0 How should King confirm or change the Thursday, 11:00 AM meeting date?

Item # 10

0 Note the date. Again, mail between branches is seriously slow

0 Apparently, there is no planning and setting of objectives at SRC or, if there is, such plans are not communicated to branch librarians or worked out in consultation with branch librarians. This item should bring out a discussion of the basic spirit of "management by objectives," which involves lengthy discussion between superior and subordinate at every level working out an agreement or "commitment" as to specific goals for specific periods at all levels. Absence of such "M.B.O." goal-setting (which become mutually agreed upon standards of performance) makes meaningful performance rating and appraisal impossible.

Item # 11

0 Obviously, King makes a practice of joining Dunn's staff meetings (probably a good idea) occasionally. However, Dunn is out (Item 4). Should King now cancel the meeting or attend it briefly and then adjourn. She needs all the time she can get today!

0 Note that her 1:00 Executive Committee meeting includes all V.P.'s, including Kiley who is a V.P.

0 Should she cancel luncheon date? Maybe. Should she cancel the 3:30 PM meeting with Starr? NO!

Item # 12

0 Although Cole is "new" to SRC (see Item #7), his method of announcing an "organizational change" is threatening to people and bound to cause alarm (which it does as an Item # 18).

0 This item, in combination with Item # 18, should bring out discussion of right and wrong ways to plan and announce changes.

0 Should Cole have consulted Collins or King before "shooting out" this kind of a "missile?" If Cole had consulted King, what should King have done to ease expected resistance to the change and cultivate acceptance of such a change?

Item # 13

0 The question often arises here as to the position of "Personnel" in the organization chart. Should the "personnel" function report to King or be placed, in the organization structure, on the same level as Operations Head (King) and ILL Head (Foley)?

0 There is usually general agreement in this item that a critical failing of King as a manager is that she does not DELEGATE sufficiently or properly. Why should details like vacation schedules come to her desk at all? This item should lead to a discussion of the proper steps and methods in delegating.

Item # 14

0 The "delegation" question again, as in Item 13. Should King be the one to handle Marie-- or should authority to handle the situation be delegated to a lower level?

0 Also raises questions on de-centralization, role of staff and POLICY as in Item # 1 above (page 5)

Item # 15

0 A real communication "goof" on Hart's part. Review discussion points regarding the proper role of a secretary as in Item #3. Also, the priority of this item in terms of smoothing possible bad feeling on Collins' part because of what he thinks is diinterest on King's part.

0 Stress, again, as with Item # 3, that this would not have happened if King and Hart maintained regular telephone contact when she was out of town.

Item # 16

0 Again the quality control question. See points raised with regard to role of staff, Policy formulation and de-centralization as in Item # 1.

0 Again, too, the communication problem (Bell learning only by accident about the APFM case). See points raised regarding Item # 7.

0 This item raises the entire question of relationships, job definitions and role of line and staff officers. What should be the role and job definition of the Borrowing Librarian (Long), ILL Head (Foley), Lending Librarian (Rivers), and other staff officers with regard to line officers such as King, Collins, Miller, Kiley and Dunn? (See OUTLINE #14 and 17)

Item # 17

0 Note that Starr is on King's calendar today at 3.30 PM (Hart made the appointment as in Item # 11).
King only has several hours to get briefed about the Starr case. Should she phone Lane for a briefing? Should she try to cancel? PROBABLY NOT!

0 Does Collins delegate too much? King too little?

Item # 18

0 This item brings up the question of right and wrong ways to introduce organizational change. See notes above regarding Item # 12.

0 Note, too, that the "grapevine" again fills the void created by a poor communication system in SRC.

0 Dunn should have used the telephone (not a memo) with Hart and with King (long distance). Most SRC people seem to write too much and talk, either through telephone or meetings, much too little!

0 An irony: SRC people are too informal regarding clear policies and job definitions (see Item # 1) but much too formal regarding communication (everthing is in slow, formal memos rather than two-way telephone and personal conversation).

Item # 19

0 Note that it's "Kiley to King." It seems obvious that Kiley resents reporting to King, feels that he should be able to report directly to Collins (note in Item # 21 Kiley's end run around King).

0 Note date of Memo. Slow mail problem again.

0 Again, the problem of organizational change and communication (see notes regarding Items 7 & 12).

Item #20

0 Note date. Slow mail again.

0 Questions of policy, de-centralization and roles of staff and line officers. See notes on Item # 1. Obviously, there is a pattern throughout SRC of vague policy, uncontrolled de-centralization, combined (ironically) with excessive levels of review with regard to such key functions as interlibrary lending,security of classified material, hiring, salary determination, etc.

Item # 21

0 Note the "end run." King did not get a copy of Kiley's Sept. 25 memo to Collins (Item #22). Kiley apparently resents reporting to King and prefers to deal with Collins directly. What should King do about Kiley's managerial practices, his morale problem at Northern, his excessive autonomy in decisions about loans etc.? How can King deal with Kiley when Kiley's contract, as branch librarian of Northern, has still another full year to run? Collins seems to have "delegated" the problem to King. Should King go right back to Collins with a plan for handling Kiley and insist on " backing" from Collins?

0 It seems obvious that Collins delegates too much (maybe abdicates responsibility) while King delegates too little.

0 Should SRC try to "buy" Kiley's contract? Or "fence" him in with tight centralized policies that stop all his actions (these would affect Dunn and Miller too!)

Item # 22

0 Main issue here, of course, is how to handle Kiley (see notes above regarding Item # 21).

0 Also see notes regarding Item # 1 re:Policy, etc.

Item # 23

0 Question here the issue of job definition and responsibility. Who should be responsible for security? A staff security person or the branch librarian ?

Item # 24

0 Obviously, Kiley is a Theory X manager .

APPENDICES

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Appendix A

MODEL MANAGEMENT CURRICULUM FOR SPECIAL LIBRARIANS

NEEDS ASSESSMENT MEETING AND SURVEY*

JULY 1978

COMBINED RESULTS

Topic	Priority		
	A	B	C
Management Communications			
- between library & non-library management	45	7	4
- between library & clients			
- marketing			
- public relations			
- credibility			
Space Management and Planning			
- for changes in personnel	17	19	15
- for changes in technology			
- impact upon the library and the organization			
Role of the Library/Librarian in the Organization	29	13	8
Predicting Information Needs	18	22	10
Identification of Information Sources Outside the Library but still within the Organization	10	13	27
Data Base Management			
- selecting appropriate data bases	26	32	6
- evaluating data bases			
- incorporating into overall information plans			
- selecting and evaluating hardware			

*See page 7 for description of needs assessment process.

	A	B	C
Financial Management			
- budget formulation and projection - cost-effectiveness - cost recovery - budgeting techniques - financial planning justification	42	14	2
Long Range Planning			
- space - Management by Objectives (MBO) - financial - program - organizational diagnosis	43	13	1
Technology			
- forecasting - adapting - training - applications (resource sharing)	32	17	3
Contracting	8	13	30
Human Resources Management			
- professional/paraprofessional - growth/cut situation - personnel utilization	39	12	6
Additional Topics			
Networking & cooperative efforts	1		
Library security & theft control	1		
Library interface		1	
Public relations	1		
OCLC	1		
Job description to get higher grades	1		
Image of the librarian as a professional	1		
Dealing with administration	1		
Dealing with library committees	1		
Need for presence of librarian at budget meetings	1		
Justification of need for additional floorspace	1		

APPENDIX B

LIBRARY COUNCIL MANAGEMENT CURRICULUM FOR SPECIAL LIBRARIANS
WORKSHOP #4
MANAGEMENT COMMUNICATIONS

April 26, May 1, 3, 1979

Evaluation by Participants

In order to insure that our programs continue to meet the needs of participants, would you please take the time to evaluate the program you have just completed.

Please rate each of the items below according to the categories indicated by placing a check (✓) above the appropriate number adding comments where necessary or appropriate.

1. In general the objective of the workshop was to introduce participants to theories and techniques of ______________ To what extent was this objective accomplished for you by the workshop program?

Not at all ______________ Very well
1 2 3 4 5

2. If you feel the workshop objective was successfully achieved for you, indicate the one factor that contributed most to its success. Likewise, if you feel it was not successfully achieved for you, indicate the one factor that contributed most to its failure.

____

____

____

3. Your personal expectations for the course:

Not achieved ______________ Exceeded
1 2 3 4 5

4. Design of the course:

Poor ______________ Superior
1 2 3 4 5

5. Complexity of the course material:

Too simple ______________ Too complicated
1 2 3 4 5

6. Course content:

Too theoretical ______________ Too practical
1 2 3 4 5

7. Information obtained from other participants:

No new helpful information ______________ A great deal of new helpful info.
1 2 3 4 5

8. Rate the course instructor in terms of content and delivery:

Content: Poor ______________ Excellent
1 2 3 4 5

Delivery: Poor ______________ Excellent
1 2 3 4 5

Comments: ____

____

____

9. List the most valuable and least valuable aspects of the course for you:

MOST VALUABLE	LEAST VALUABLE

10. What changes would you recommend? ____

____

____

11. Do you have any suggestions for additional courses which the Council of Governments might offer to meet your special needs or those of your library?

____

____

____

12. Please add any additional comments, criticisms, and suggestions you may have concerning course content, format, instructor , and your needs.

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APPENDIX C

WORKSHOP #4

LIBRARY COUNCIL MANAGEMENT CURRICULUM FOR SPECIAL LIBRARIANS

MANAGEMENT COMMUNICATIONS

April 26, May 1, 3, 1979

Evaluation by Instructor

As part of our evaluation of the Metropolitan Washington Library Council's management training program for special librarians, we are asking you to complete this questionnaire. Your reactions will help us in assessing the effectiveness of this workshop and in structuring future courses. Thank you for your cooperation.

NAME: ______________________________

1. Were you generally satisfied with the outcome of this course? ______________

2. Did you feel that your pre-course orientation to the special library environment adequately prepared you to address this group? What was the most valuable: consultation with advisory committees; site visits; background readings, etc.? What would you change or add?

3. Please comment on the responsiveness of the participants (amount of discussion, group interaction, interest, enthusiasm, etc.).

4. What differences, if any, did you note between this group and others you have addressed with similar presentations?

5. Were you adequately informed as to what was expected of you?

6. Do you have any comments or suggestions which might help us in planning and implementing future workshops?

7. Would you be willing to participate in similar workshops for special librarians in other parts of the country?

8. Did you think the team approach was useful? If so, in what ways? If no, why not?